

Colorado Independent Ethics Commission FY 2021

Strategic Plan and Budget Request



Elizabeth Espinosa Krupa, Chair

William Leone, Vice-Chair

Dino Ioannides, Executive Director

# **Independent Ethics Commission Strategic Plan and Budget Request FY 2021**

## **I. Mission Statement**

The mission of the Colorado Independent Ethics Commission is to encourage, educate about, and enforce ethical conduct by public officials and employees pursuant to Article XXIX of the Colorado Constitution, and to maintain and improve the public's confidence in the integrity of Colorado government.

## **II. Agency Overview**

The Colorado Independent Ethics Commission ("the Commission" or "IEC") was created in 2006 pursuant to a voter-initiated amendment to the Colorado Constitution. The measure was on the ballot as Amendment 41 and became Article XXIX. Following enactment, the General Assembly passed the enabling legislation found at 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 last revised its rules in June 2019.

Pursuant to the Constitution and statute, the IEC is required 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, § 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 IEC "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 § 5(c).

The Commission has jurisdiction over all state legislative and executive branch elected officials and employees, as well as elected officials and employees of all Colorado counties and municipalities, unless the county or municipality is a home rule jurisdiction that has adopted charters, ordinances, or resolutions that address the matters covered by Article XXIX.

The Commission consists of five members. Four members are appointed by the Governor, the House of Representatives, the Senate, and the Chief Justice of the Supreme Court, respectively. The fifth member, who must be a local government employee or official, is appointed by the other four members. No more than two members may be from the same political party. The current members of the Commission are Elizabeth Espinosa Krupa (U), Chair; William Leone (R), Vice-Chair; Debra Johnson (D), Commissioner; and Yeulin Willett (R), Commissioner. The Commission is evaluating applications for appointment to the fifth commissioner seat. The Commission's Executive Director is currently the only staff member.

The Commission is an independent entity under the umbrella of the Colorado Judicial branch. The State Court Administrator's Office (SCAO) provides administrative assistance to the Commission including payroll, accounting and budget assistance, employment services, and technological support at no additional cost to the Commission. The IEC office is located in the Ralph L. Carr

Colorado Judicial Center.

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

Since its inception in 2007, the Commission has issued 141 opinions (including position statements, advisory opinions, and letter rulings) and reviewed 254 complaints, holding public hearings on 25 of those matters. As required by the Constitution, the Commission has appointed a member of local government on three separate occasions to serve as the “fifth commissioner”. Overall the Commission continues to maintain a steady yearly workload, striving to address all matters in a timely fashion. The trend for advisory opinions and letter rulings issued by the Commission shows an average number issued in 2017, followed by a dip in 2018; as of June 2019, numbers have returned to typical averages. For complaints, the trend is different. From 2015 through 2018 the Commission saw a greater number of complaints filed than usual, almost doubling typical complaint volume.

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

### **IV. Other Activities**

The Commission remains committed to outreach and training for all employees and officials under its jurisdiction, as well as community groups interested in the work the Commission does. The Commission issued an ethics handbook in 2011 and issued second and third editions in 2013 and 2016, respectively. Since its initial release this handbook has been provided to the members of the General Assembly, employees of state agencies, appointees to local and state boards and commissions (through the Governor’s Office of State Boards and Commissions), and county and municipal employees and officials through Colorado Counties, Inc. (CCI) and the Colorado Municipal League (CML). An electronic version of the handbook is also available on the Commission’s website.

In the first half of 2019, the Commission significantly increased its outreach and training efforts, more than doubling its typical monthly average. The Commission remains committed to training and outreach as an efficient and cost-effective way of ensuring that public officials and employees understand and appreciate their ethical obligations, as well as those required by the Colorado Revised Statutes and Article XXIX.

### **V. Ongoing Strategic Plan and Goals**

The Commission’s primary goal is to continue to perform its duties under the Constitution in a fair, balanced, and timely manner. The Commission’s ongoing objectives are as follows:

- 1) Continue to respond to requests for advisory opinions and letter rulings promptly and, where possible, issue general guidance to covered individuals through position statements.

In responding to requests for advisory opinions and letter rulings, the Commission’s goal is to achieve resolution of requests within 30-60 days, as indicated in previous strategic plans.

For the period January 1, 2018, through June 30, 2019, the IEC issued 7 opinions, with an average resolution period of 46 days, with the longest period being 152 days and the shortest being just five days. Only one opinion took longer than 60 days to resolve, requiring consideration over multiple meetings. Excluding this one outlier, the Commission resolved opinions in an average of 28 days.

2) Review complaints as quickly as possible.

The Commission strives to achieve timely review of complaints following initial filing. Between January 1, 2018, and June 30, 2019, the Commission addressed each complaint that was filed within an average of 97 days from the date of filing. This includes three complaints that were resolved via written order; these three complaints on average took 573 days per complaint to resolve. The remaining complaints were resolved, on average, in under 73 days, with a median of 45 days.

Any person may file a complaint with the IEC.<sup>1</sup> The IEC uses electronic complaint filing to facilitate the filing process for complainants. Although parties may choose to be represented by counsel, some elect to participate in complaint proceedings on a *pro se* basis. Thus, the Commission strives to be flexible in its hearing requirements, while being mindful of due process protections for all participants. For example, the Commission regularly allows parties who live outside the metro area to appear by telephone if needed. Additionally, Commission staff works with the parties to explain the complaint process, impart an understanding of the IEC's operations and mandate, and clarify the IEC's procedures and available remedies. Commission staff cannot render legal advice, but is nonetheless available to answer questions about navigating the process.

The IEC expects that, for the remainder of FY 2020 and possibly through FY 2021, there may be extended time frames required to resolve some complaints involving important jurisdictional issues.

3) Continue the ongoing commitment to outreach and education, including in areas of the state outside the Denver metro area, to ensure that all covered individuals receive ethics training and/or information soon after they are hired and thereafter on a routine basis.

The Commission has long believed that education and outreach are a fundamental component of its overall mission. Covered individuals should know what is expected of them and what ethical standards will apply to the performance of their duties. In addition, community outreach and availability to citizens is essential, so they know their concerns are being heard. The IEC committed in previous years to growing the outreach and public education component of its mandate. Between January 1, 2018, and June 30, 2019, the IEC completed 20 training and/or outreach sessions, reaching an estimated 900 individuals.

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<sup>1</sup> Colo. Const. Art. XXIX, § 5(3)(a).

- 4) Increase access to the Commission proceedings for covered individuals and citizens outside the Denver metro area.

This remains an ongoing area of concern for the Commission, to ensure access to its proceedings to all those who may be interested. The IEC has experimented with video live-streaming and audio transmission of its meetings to the public and archiving the recordings. However, audio-visual transmission to promote public participation remains an ongoing challenge: professional production is cost-prohibitive; and one staff member is insufficient to assist with meetings while operating audio-visual equipment and preserving the Constitutional requirement to maintain as confidential select portions of the proceedings.

Additionally, the Commission has made appearance by telephone a possibility for complainants, respondents, witnesses, opinion requesters, attorneys, and other members of the public. Allowing telephone appearances has worked well and has provided meaningful options for participants.

## **VI. Additional Issues**

**Budget/Adjustments.** In FY 2019, the Commission reverted \$23,830 to the general fund from its program cost allocation.

**HB 18-1430 Long-Range Financial Plan.** At this time, the Commission does not anticipate any significant changes in, or potential contingencies affecting, its future financial planning. As such, the Commission requests a continuation budget, plus any common policy adjustments for FY 2021, and anticipates no significant increases or decreases to its budget in future years as shown in the table below.

| <b>FY2021</b>        |                  | <b>FY2022</b>        |                  | <b>FY2023</b>        |                  | <b>FY2024</b>        |                  | <b>FY2025</b>        |                  |
|----------------------|------------------|----------------------|------------------|----------------------|------------------|----------------------|------------------|----------------------|------------------|
| <b>Appropriation</b> |                  | <b>Appropriation</b> |                  | <b>Appropriation</b> |                  | <b>Appropriation</b> |                  | <b>Appropriation</b> |                  |
| <b>FTE</b>           | <b>Total</b>     | <b>FTE</b>           | <b>Total</b>     | <b>FTE</b>           | <b>Total</b>     | <b>FTE</b>           | <b>Total</b>     | <b>FTE</b>           | <b>Total</b>     |
| 1.0                  | \$208,736        | 1.0                  | \$212,667        | 1.0                  | \$216,691        | 1.0                  | \$220,812        | 1.0                  | \$225,034        |
| <b>1.0</b>           | <b>\$208,736</b> | <b>1.0</b>           | <b>\$212,667</b> | <b>1.0</b>           | <b>\$216,691</b> | <b>1.0</b>           | <b>\$220,812</b> | <b>1.0</b>           | <b>\$225,034</b> |

### **Assumptions for Calculations:**

All years assume a continuation budget plus 2% salary increase and 4% HLD increase.

**Common policy adjustments.** If the Joint Budget Committee approves a common policy (salary survey and merit) adjustment, the Commission would like to apply the adjustment to the Executive Director position.

## **VII. Conclusion**

For FY 2021 the Commission seeks to maintain its budget at approximately the same level as FY 2020.

## **Appendix A**

| <b>Year</b>        | <b>Meetings</b> | <b>Opinions</b> |           |           |              | <b>Complaints</b> | <b>Hearings</b> | <b>Trainings</b> |
|--------------------|-----------------|-----------------|-----------|-----------|--------------|-------------------|-----------------|------------------|
|                    |                 | <b>AO</b>       | <b>LR</b> | <b>PS</b> | <b>Total</b> |                   |                 |                  |
| 2008               | 24              |                 |           | 3         | 3            | 4                 | 0               | 2                |
| 2009               | 25              | 9               | 5         | 7         | 21           | 14                | 1               | 6                |
| 2010               | 20              | 16              | 2         | 1         | 19           | 9                 | 3               | 7                |
| 2011               | 13              | 12              | 0         | 1         | 13           | 12                | 1               | 34               |
| 2012               | 13              | 9               | 1         | 2         | 12           | 7                 | 2               | 14               |
| 2013               | 21              | 10              | 0         | 0         | 10           | 14                | 3               | 4                |
| 2014               | 21              | 17              | 2         | 0         | 19           | 24                | 1               | 3                |
| 2015               | 12              | 12              | 2         | 1         | 15           | 35                | 3               | 19               |
| 2016               | 18              | 7               | 4         | 1         | 12           | 27                | 4               | 1                |
| 2017               | 11              | 8               | 1         | 0         | 9            | 50                | 2               | 6                |
| 2018               | 12              | 3               | 0         | 0         | 3            | 37                | 1               | 5                |
| 1/1/19-<br>6/30/19 | 6               | 2               | 2         | 1         | 5            | 21                | 4               | 15               |
| Total              | 196             | 105             | 19        | 17        | 141          | 254               | 25              | 116              |
| Avg.               | 17              | 9.1             | 1.7       | 1.5       | 12.3         | 22.1              | 2.1             | 10.9             |

**LEGEND:**

**AO** = Advisory Opinion

**LR** = Letter Ruling

**PS** = Position Statement

**Meetings** include all in person meetings and telephonic meetings.

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## FY 2020-21 Budget Request - Independent Ethics Commission

## Schedule 02

|  | Total Funds | FTE | General Fund | Cash Funds | Reappropriated | Federal |
|--|-------------|-----|--------------|------------|----------------|---------|
|--|-------------|-----|--------------|------------|----------------|---------|

### FY 2017-18 Actual Expenditures

|  |                  |            |                  |          |          |          |
|--|------------------|------------|------------------|----------|----------|----------|
| 10. Independent Ethics Commission                | \$326,993        | 1.0        | \$326,993        | -        | -        | -        |
| <b>Total For: FY 2017-18 Actual Expenditures</b> | <b>\$326,993</b> | <b>1.0</b> | <b>\$326,993</b> | <b>-</b> | <b>-</b> | <b>-</b> |

### FY 2018-19 Actual Expenditures

|  |                  |            |                  |          |          |          |
|--|------------------|------------|------------------|----------|----------|----------|
| 10. Independent Ethics Commission                | \$316,566        | 1.0        | \$316,566        | -        | -        | -        |
| <b>Total For: FY 2018-19 Actual Expenditures</b> | <b>\$316,566</b> | <b>1.0</b> | <b>\$316,566</b> | <b>-</b> | <b>-</b> | <b>-</b> |

### FY 2019-20 Initial Appropriation

|  |                  |            |                  |          |          |          |
|--|------------------|------------|------------------|----------|----------|----------|
| 10. Independent Ethics Commission                  | \$204,709        | 1.0        | \$204,709        | -        | -        | -        |
| <b>Total For: FY 2019-20 Initial Appropriation</b> | <b>\$204,709</b> | <b>1.0</b> | <b>\$204,709</b> | <b>-</b> | <b>-</b> | <b>-</b> |

### FY 2020-21 Elected Official Request

|   |                  |            |                  |          |          |          |
|---|------------------|------------|------------------|----------|----------|----------|
| 10. Independent Ethics Commission                     | \$209,361        | 1.0        | \$209,361        | -        | -        | -        |
| <b>Total For: FY 2020-21 Elected Official Request</b> | <b>\$209,361</b> | <b>1.0</b> | <b>\$209,361</b> | <b>-</b> | <b>-</b> | <b>-</b> |



# Independent Ethics Commission

## Schedule 3A

| FY 2017-18 Actual Expenditures | Total Funds | FTE | General Fund | Cash Funds | Reappropriated Funds | Federal Funds |
|--------------------------------|-------------|-----|--------------|------------|----------------------|---------------|
|--------------------------------|-------------|-----|--------------|------------|----------------------|---------------|

### Program Costs

|  |                  |            |                  |   |   |   |
|--|------------------|------------|------------------|---|---|---|
| SB 17-254 FY 2017-18 General Appropriation Act | \$193,089        | 1.0        | \$193,089        | - | - | - |
| <b>FY 2017-18 Final Appropriation</b>          | <b>\$193,089</b> | <b>1.0</b> | <b>\$193,089</b> | - | - | - |
| <b>FY 2017-18 Final Expenditure Authority</b>  | <b>\$193,089</b> | <b>1.0</b> | <b>\$193,089</b> | - | - | - |
| <b>FY 2017-18 Actual Expenditures</b>          | <b>\$171,415</b> | -          | <b>\$171,415</b> | - | - | - |
| <b>FY 2017-18 Reversion (Overexpenditure)</b>  | <b>\$21,674</b>  | <b>1.0</b> | <b>\$21,674</b>  | - | - | - |

|  |                  |   |                  |   |   |   |
|--|------------------|---|------------------|---|---|---|
| <b>FY 2017-18 Personal Services Allocation</b>         | <b>\$158,747</b> | - | <b>\$158,747</b> | - | - | - |
| <b>FY 2017-18 Total All Other Operating Allocation</b> | <b>\$12,668</b>  | - | <b>\$12,668</b>  | - | - | - |

### Legal Services

|  |                  |   |                  |   |   |   |
|--|------------------|---|------------------|---|---|---|
| SB 17-254 FY 2017-18 General Appropriation Act | \$155,578        | - | \$155,578        | - | - | - |
| <b>FY 2017-18 Final Appropriation</b>          | <b>\$155,578</b> | - | <b>\$155,578</b> | - | - | - |
| <b>FY 2017-18 Final Expenditure Authority</b>  | <b>\$155,578</b> | - | <b>\$155,578</b> | - | - | - |
| <b>FY 2017-18 Actual Expenditures</b>          | <b>\$155,578</b> | - | <b>\$155,578</b> | - | - | - |
| <b>FY 2017-18 Reversion (Overexpenditure)</b>  | -                | - | -                | - | - | - |

|  |                  |   |                  |   |   |   |
|--|------------------|---|------------------|---|---|---|
| <b>FY 2017-18 Total All Other Operating Allocation</b> | <b>\$155,578</b> | - | <b>\$155,578</b> | - | - | - |
|--|------------------|---|------------------|---|---|---|

### Total 10. Independent Ethics Commission

|   |                  |            |                  |   |   |   |
|---|------------------|------------|------------------|---|---|---|
| <b>FY 2017-18 Final Expenditure Authority</b> | <b>\$348,667</b> | <b>1.0</b> | <b>\$348,667</b> | - | - | - |
| <b>FY 2017-18 Actual Expenditures</b>         | <b>\$326,993</b> | -          | <b>\$326,993</b> | - | - | - |
| <b>FY 2017-18 Reversion (Overexpenditure)</b> | <b>\$21,674</b>  | <b>1.0</b> | <b>\$21,674</b>  | - | - | - |

# Independent Ethics Commission

## Schedule 3B

| FY 2018-19 Actual Expenditures                                | Total Funds             | FTE        | General Fund            | Cash Funds | Reappropriated Funds | Federal Funds |
|---|-------------------------|------------|-------------------------|------------|----------------------|---------------|
| <b>Program Costs</b>  |                         |            |                         |            |                      |               |
| HB18-1322 FY 2018-19 Long Appropriation Act                   | \$198,696               | 1.0        | \$198,696               | -          | -                    | -             |
| <b>FY 2018-19 Final Appropriation</b>                         | <b>\$198,696</b>        | <b>1.0</b> | <b>\$198,696</b>        | -          | -                    | -             |
| <b>FY 2018-19 Final Expenditure Authority</b>                 | <b>\$198,696</b>        | <b>1.0</b> | <b>\$198,696</b>        | -          | -                    | -             |
| <b>FY 2018-19 Actual Expenditures</b>                         | <b>\$174,866</b>        | -          | <b>\$174,866</b>        | -          | -                    | -             |
| <b>FY 2018-19 Reversion (Overexpenditure)</b>                 | <b>\$23,830</b>         | <b>1.0</b> | <b>\$23,830</b>         | -          | -                    | -             |
| <b><i>FY 2018-19 Personal Services Allocation</i></b>         | <b><i>\$164,110</i></b> | -          | <b><i>\$164,110</i></b> | -          | -                    | -             |
| <b><i>FY 2018-19 Total All Other Operating Allocation</i></b> | <b><i>\$10,756</i></b>  | -          | <b><i>\$10,756</i></b>  | -          | -                    | -             |
| <b>Legal Services</b>   |                         |            |                         |            |                      |               |
| HB18-1322 FY 2018-19 Long Appropriation Act                   | \$141,700               | -          | \$141,700               | -          | -                    | -             |
| <b>FY 2018-19 Final Appropriation</b>                         | <b>\$141,700</b>        | -          | <b>\$141,700</b>        | -          | -                    | -             |
| <b>FY 2018-19 Final Expenditure Authority</b>                 | <b>\$141,700</b>        | -          | <b>\$141,700</b>        | -          | -                    | -             |
| <b>FY 2018-19 Actual Expenditures</b>                         | <b>\$141,700</b>        | -          | <b>\$141,700</b>        | -          | -                    | -             |
| <b>FY 2018-19 Reversion (Overexpenditure)</b>                 | -                       | -          | -                       | -          | -                    | -             |
| <b><i>FY 2018-19 Total All Other Operating Allocation</i></b> | <b><i>\$141,700</i></b> | -          | <b><i>\$141,700</i></b> | -          | -                    | -             |
| <b>Total 10. Independent Ethics Commission</b>                |                         |            |                         |            |                      |               |
| <b>FY 2018-19 Final Expenditure Authority</b>                 | <b>\$340,396</b>        | <b>1.0</b> | <b>\$340,396</b>        | -          | -                    | -             |
| <b>FY 2018-19 Actual Expenditures</b>                         | <b>\$316,566</b>        | -          | <b>\$316,566</b>        | -          | -                    | -             |
| <b>FY 2018-19 Reversion (Overexpenditure)</b>                 | <b>\$23,830</b>         | <b>1.0</b> | <b>\$23,830</b>         | -          | -                    | -             |

**Independent Ethics Commission****Schedule 3C**

| FY 2019-20 Initial Appropriation               | Total Funds      | FTE        | General Fund     | Cash Funds | Reappropriated Funds | Federal Funds |
|--|------------------|------------|------------------|------------|----------------------|---------------|
| <b>Program Costs</b>                           |                  |            |                  |            |                      |               |
| SB 19-207 FY 2019-20 Long Bill                 | \$204,709        | 1.0        | \$204,709        | -          | -                    | -             |
| <b>2019-20 Initial Appropriation</b>           | <b>\$204,709</b> | <b>1.0</b> | <b>\$204,709</b> | -          | -                    | -             |
| <b>Legal Services</b>                          |                  |            |                  |            |                      |               |
|  | -                | -          | -                | -          | -                    | -             |
| <b>Total 10. Independent Ethics Commission</b> |                  |            |                  |            |                      |               |
| SB 19-207 FY 2019-20 Long Bill                 | \$204,709        | 1.0        | \$204,709        | -          | -                    | -             |
| <b>2019-20 Initial Appropriation</b>           | <b>\$204,709</b> | <b>1.0</b> | <b>\$204,709</b> | -          | -                    | -             |

# Independent Ethics Commission

## Schedule 3D

| FY 2020-21 Budget Request | Total Funds | FTE | General Fund | Cash Funds | Reappropriated Funds | Federal Funds |
|---------------------------|-------------|-----|--------------|------------|----------------------|---------------|
|---------------------------|-------------|-----|--------------|------------|----------------------|---------------|

### Program Costs

|   |                  |            |                  |   |   |   |
|---|------------------|------------|------------------|---|---|---|
| <b>FY 2020-21 Starting Base</b>             | <b>\$204,709</b> | <b>1.0</b> | <b>\$204,709</b> | - | - | - |
| TA-001 IEC Common Policy Adjustment         | \$4,027          | -          | \$4,027          | - | - | - |
| TA-002 IEC PERA Incremental                 | \$625            | -          | \$625            | - | - | - |
| <b>FY 2020-21 Base Request</b>              | <b>\$209,361</b> | <b>1.0</b> | <b>\$209,361</b> | - | - | - |
| <b>FY 2020-21 Governor's Budget Request</b> | <b>\$209,361</b> | <b>1.0</b> | <b>\$209,361</b> | - | - | - |

|   |                  |            |                  |   |   |   |
|---|------------------|------------|------------------|---|---|---|
| <b>Personal Services Allocation</b>         | <b>\$184,361</b> | <b>1.0</b> | <b>\$184,361</b> | - | - | - |
| <b>Total All Other Operating Allocation</b> | <b>\$25,000</b>  | <b>-</b>   | <b>\$25,000</b>  | - | - | - |

### Total 10. Independent Ethics Commission

|   |                  |            |                  |   |   |   |
|---|------------------|------------|------------------|---|---|---|
| <b>FY 2020-21 Starting Base</b>             | <b>\$204,709</b> | <b>1.0</b> | <b>\$204,709</b> | - | - | - |
| TA-001 IEC Common Policy Adjustment         | \$4,027          | -          | \$4,027          | - | - | - |
| TA-002 IEC PERA Incremental                 | \$625            | -          | \$625            | - | - | - |
| <b>FY 2020-21 Base Request</b>              | <b>\$209,361</b> | <b>1.0</b> | <b>\$209,361</b> | - | - | - |
| <b>FY 2020-21 Governor's Budget Request</b> | <b>\$209,361</b> | <b>1.0</b> | <b>\$209,361</b> | - | - | - |

|   |                  |            |                  |   |   |   |
|---|------------------|------------|------------------|---|---|---|
| <b>Personal Services Allocation</b>         | <b>\$184,361</b> | <b>1.0</b> | <b>\$184,361</b> | - | - | - |
| <b>Total All Other Operating Allocation</b> | <b>\$25,000</b>  | <b>-</b>   | <b>\$25,000</b>  | - | - | - |

**Schedule 14B**

| Line Item | Object Code | Detail | FY 2017-18 Actual |     | FY 2018-19 Actual |     | FY 2019-20 Appropriation |     | FY 2020-21 Gov Req |     |
|-----------|-------------|--------|-------------------|-----|-------------------|-----|--------------------------|-----|--------------------|-----|
|           |             |        | Expenditure       | FTE | Expenditure       | FTE | Expenditure              | FTE | Expenditure        | FTE |

**10. Independent Ethics Commission**

**Program Costs**

**Personal Services - Employees**

| Object Group | Object Group Name                 |           |  |           |     |           |     |           |     |
|--------------|-----------------------------------|-----------|--|-----------|-----|-----------|-----|-----------|-----|
| FTE          | Total FTE                         |           |  | 1.0       | 1.0 |           | 1.0 |           | 1.0 |
| 1000         | Total Employee Wages and Benefits | \$158,747 |  | \$164,110 |     | \$179,709 |     | \$184,361 |     |

| Object Code | Object Name                |           |   |           |  |           |   |           |  |
|-------------|----------------------------|-----------|---|-----------|--|-----------|---|-----------|--|
| 1000        | Personal Services          | -         | - |           |  | \$179,709 |   | \$184,361 |  |
| 1110        | Regular Full-Time Wages    | \$117,635 |   | \$121,117 |  | -         | - | -         |  |
| 1510        | Dental Insurance           | \$747     |   | \$746     |  | -         | - | -         |  |
| 1511        | Health Insurance           | \$15,790  |   | \$16,968  |  | -         | - | -         |  |
| 1512        | Life Insurance             | \$108     |   | \$108     |  | -         | - | -         |  |
| 1513        | Short-Term Disability      | \$223     |   | \$186     |  | -         | - | -         |  |
| 1520        | FICA-Medicare Contribution | \$1,629   |   | \$1,679   |  | -         | - | -         |  |
| 1522        | PERA                       | \$11,392  |   | \$11,739  |  | -         | - | -         |  |
| 1524        | PERA - AED                 | \$5,611   |   | \$5,784   |  | -         | - | -         |  |
| 1525        | PERA - SAED                | \$5,611   |   | \$5,784   |  | -         | - | -         |  |

|                                       |  |                  |            |                  |            |                  |            |                  |            |
|---------------------------------------|--|------------------|------------|------------------|------------|------------------|------------|------------------|------------|
| <b>Subtotal All Personal Services</b> |  | <b>\$158,747</b> | <b>1.0</b> | <b>\$164,110</b> | <b>1.0</b> | <b>\$179,709</b> | <b>1.0</b> | <b>\$184,361</b> | <b>1.0</b> |
|---------------------------------------|--|------------------|------------|------------------|------------|------------------|------------|------------------|------------|

**All Other Operating Expenditures**

| Object Group | Object Group Name        |         |  |         |  |          |  |          |  |
|--------------|--------------------------|---------|--|---------|--|----------|--|----------|--|
| 2000         | Total Operating Expenses | \$4,558 |  | \$4,242 |  | \$25,000 |  | \$25,000 |  |
| 3000         | Total Travel Expenses    | \$8,110 |  | \$6,514 |  | -        |  | -        |  |

**Schedule 14B**

|                                     |  | FY 2017-18 Actual |            | FY 2018-19 Actual |            | FY 2019-20<br>Appropriation |            | FY 2020-21 Gov<br>Req |            |
|-------------------------------------|--|-------------------|------------|-------------------|------------|-----------------------------|------------|-----------------------|------------|
| Line Item                           | Object Code Detail                                     | Expenditure       | FTE        | Expenditure       | FTE        | Expenditure                 | FTE        | Expenditure           | FTE        |
| Object Code                         | Object Name  |                   |            |                   |            |                             |            |                       |            |
| 2000                                | Operating Expense                                      | -                 | -          | -                 | -          | \$25,000                    |            | \$25,000              |            |
| 2231                                | Information Technology Maintenance                     | \$95              |            | \$38              |            | -                           |            | -                     |            |
| 2253                                | Rental of Equipment                                    | \$1,005           |            | \$542             |            | -                           |            | -                     |            |
| 2510                                | In-State Travel  | \$245             |            | \$307             |            | -                           |            | -                     |            |
| 2512                                | In-State Personal Travel Per Diem                      | \$44              |            | \$82              |            | -                           |            | -                     |            |
| 2513                                | In-State Personal Vehicle Reimbursement                | \$202             |            | \$580             |            | -                           |            | -                     |            |
| 2520                                | In-State Travel/Non-Employee                           | \$1,538           |            | \$1,300           |            | -                           |            | -                     |            |
| 2521                                | In-State/Non-Employee - Common Carrier                 | \$350             |            | -                 |            | -                           |            | -                     |            |
| 2523                                | In-State/Non-Employee - Personal Vehicle Reimbursement | \$3,717           |            | \$2,977           |            | -                           |            | -                     |            |
| 2530                                | Out-Of-State Travel                                    | -                 |            | \$748             |            | -                           |            | -                     |            |
| 2531                                | Out-Of-State Common Carrier Fares                      | -                 |            | \$376             |            | -                           |            | -                     |            |
| 2532                                | Out-Of-State Personal Travel Per Diem                  | -                 |            | \$143             |            | -                           |            | -                     |            |
| 2550                                | Out-Of-Country Travel                                  | \$750             |            | -                 |            | -                           |            | -                     |            |
| 2551                                | Out-Of-Country Common Carrier Fares                    | \$1,192           |            | -                 |            | -                           |            | -                     |            |
| 2552                                | Out-of-Country Personal Travel Reimbursement           | \$73              |            | -                 |            | -                           |            | -                     |            |
| 2680                                | Printing And Reproduction Services                     | -                 |            | \$240             |            | -                           |            | -                     |            |
| 2820                                | Purchased Services                                     | \$190             |            | -                 |            | -                           |            | -                     |            |
| 3110                                | Supplies & Materials                                   | \$16              |            | \$13              |            | -                           |            | -                     |            |
| 3118                                | Food and Food Service Supplies                         | \$2,109           |            | \$1,770           |            | -                           |            | -                     |            |
| 3121                                | Office Supplies  | \$22              |            | \$103             |            | -                           |            | -                     |            |
| 3123                                | Postage  | \$11              |            | \$24              |            | -                           |            | -                     |            |
| 3140                                | Noncapitalizable Information Technology                | -                 |            | \$38              |            | -                           |            | -                     |            |
| 4100                                | Other Operating Expenses                               | \$75              |            | \$429             |            | -                           |            | -                     |            |
| 4140                                | Dues And Memberships                                   | \$445             |            | \$445             |            | -                           |            | -                     |            |
| 4220                                | Registration Fees                                      | \$590             |            | \$600             |            | -                           |            | -                     |            |
| <b>Subtotal All Other Operating</b> |  | <b>\$12,668</b>   |            | <b>\$10,756</b>   |            | <b>\$25,000</b>             |            | <b>\$25,000</b>       |            |
| <b>Total Line Item Expenditures</b> |  | <b>\$171,415</b>  | <b>1.0</b> | <b>\$174,866</b>  | <b>1.0</b> | <b>\$204,709</b>            | <b>1.0</b> | <b>\$209,361</b>      | <b>1.0</b> |

**Schedule 14B**

|   |                          | FY 2017-18 Actual |          | FY 2018-19 Actual |          | FY 2019-20<br>Appropriation |          | FY 2020-21 Gov<br>Req |          |
|---|--------------------------|-------------------|----------|-------------------|----------|-----------------------------|----------|-----------------------|----------|
| Line Item                               | Object Code Detail       | Expenditure       | FTE      | Expenditure       | FTE      | Expenditure                 | FTE      | Expenditure           | FTE      |
| <b>Legal Services</b>                   |                          |                   |          |                   |          |                             |          |                       |          |
| <b>All Other Operating Expenditures</b> |                          |                   |          |                   |          |                             |          |                       |          |
| <b>Object Group</b>                     | <b>Object Group Name</b> |                   |          |                   |          |                             |          |                       |          |
| 2000                                    | Total Operating Expenses | \$155,578         |          | \$141,700         |          | -                           |          | -                     |          |
| <b>Object Code</b>                      | <b>Object Name</b>       |                   |          |                   |          |                             |          |                       |          |
| 2690                                    | Legal Services           | \$155,578         |          | \$141,700         |          | -                           |          | -                     |          |
| <b>Subtotal All Other Operating</b>     |                          | <b>\$155,578</b>  |          | <b>\$141,700</b>  |          | <b>-</b>                    |          | <b>-</b>              |          |
| <b>Total Line Item Expenditures</b>     |                          | <b>\$155,578</b>  | <b>-</b> | <b>\$141,700</b>  | <b>-</b> | <b>-</b>                    | <b>-</b> | <b>-</b>              | <b>-</b> |

## IEC Salary Pots Request

|   | TOTAL FUNDS/FTE FY 2020-21 | GENERAL FUND | CASH FUNDS | REAPPROPRIATED FUNDS | FEDERAL FUNDS |
|---|----------------------------|--------------|------------|----------------------|---------------|
| <b>I. Continuation Salary Base</b>  |                            |              |            |                      |               |
| Sum of Filled FTE as of July 25, 2019   | 1.00                       | 100.000%     | 0.000%     | 0.000%               | 0.000%        |
| Salary X 12   | \$125,054                  | 125,054      | -          | -                    | -             |
| PERA (Standard, Trooper, and Judicial Rates)  | \$13,631                   | 13,631       | -          | -                    | -             |
| Medicare @ 1.45%  | \$1,813                    | 1,813        | -          | -                    | -             |
| Subtotal Continuation Salary Base =   | \$140,498                  | 140,498      | -          | -                    | -             |
| <b>II. Salary Survey Adjustments</b>  |                            |              |            |                      |               |
| System Maintenance Studies  | \$0.00                     | \$0.00       | \$0.00     | \$0.00               | \$0.00        |
| Across the Board - Base Adjustment  | \$0.00                     | \$0.00       | \$0.00     | \$0.00               | \$0.00        |
| Across the Board - Non-Base Adjustment  | \$0.00                     | \$0.00       | \$0.00     | \$0.00               | \$0.00        |
| Movement to Minium - Base Adjustment  | \$0.00                     | \$0.00       | \$0.00     | \$0.00               | \$0.00        |
| <b>Subtotal - Salary Survey Adjustments</b>   | \$0                        | \$0.00       | \$0.00     | \$0.00               | \$0.00        |
| PERA (Standard, Trooper, and Judicial Rates)  | \$0                        | -            | -          | -                    | -             |
| Medicare @ 1.45%  | \$0                        | -            | -          | -                    | -             |
| Request Subtotal =  | \$0                        | \$0.00       | \$0.00     | \$0.00               | \$0.00        |
| <b>III. Increase for Minimum Wage (\$13.00 hourly effective July 1, 2020)</b>                 |                            |              |            |                      |               |
| Increase for Minimum Wage   | -                          | \$0.00       | \$0.00     | \$0.00               | \$0.00        |
| <b>Subtotal - Minimum Wage Adjustments</b>  | -                          | \$0.00       | \$0.00     | \$0.00               | \$0.00        |
| PERA (Standard, Trooper, and Judicial Rates) at FY 2020-21 PERA Rates                         | \$0                        | \$0.00       | \$0.00     | \$0.00               | \$0.00        |
| Medicare @ 1.45%  | \$0                        | -            | -          | -                    | -             |
| Request Subtotal =  | \$0                        | \$0.00       | \$0.00     | \$0.00               | \$0.00        |
| <b>IV. Merit Pay Adjustments</b>  |                            |              |            |                      |               |
| Merit Pay - Base Adjustments  | \$2,501                    | \$2,501.00   | \$0.00     | \$0.00               | \$0.00        |
| Merit Pay - Non-Base Adjustments  | \$0                        | \$0.00       | \$0.00     | \$0.00               | \$0.00        |
| <b>Subtotal - Merit Pay Adjustments</b>   | \$2,501.00                 | \$2,501.00   | \$0.00     | \$0.00               | \$0.00        |
| PERA (Standard, Trooper, and Judicial Rates) at FY 2020-21 PERA Rates                         | \$273                      | 273          | -          | -                    | -             |
| Medicare @ 1.45%  | \$36                       | 36           | -          | -                    | -             |
| Request Subtotal =  | \$2,810                    | \$2,810.00   | \$0.00     | \$0.00               | \$0.00        |
| <b>V. Shift Differential</b>  |                            |              |            |                      |               |
| FY 2018-19 ACTUAL EXPENDITURES for All Occupational Groups                                    | \$0                        |              |            |                      |               |
| Total Actual and Adjustments @ 100%   | \$0                        | -            | -          | -                    | -             |
| PERA (Standard, Trooper, and Judicial Rates) at Current PERA Rates                            | \$0                        | -            | -          | -                    | -             |
| Medicare @ 1.45%  | \$0                        | -            | -          | -                    | -             |
| Request Subtotal =  | \$0                        | -            | -          | -                    | -             |
| <b>VI. Revised Salary Basis for Remaining Request Subtotals</b>                               |                            |              |            |                      |               |
| Total Continuation Salary Base, Adjustments, Performance Pay & Shift                          | \$127,555                  | 127,555      | -          | -                    | -             |
| <b>VII. Amortization Equalization Disbursement (AED)</b>                                      |                            |              |            |                      |               |
| Revised Salary Basis * 5.00%  | \$6,378                    | 6,378        | -          | -                    | -             |
| <b>VIII. Supplemental AED (SAED)</b>  |                            |              |            |                      |               |
| Revised Salary Basis * 5.00%  | \$6,378                    | 6,378        | -          | -                    | -             |
| <b>IX. Short-term Disability</b>  |                            |              |            |                      |               |
| Revised Salary Basis * 0.17%  | \$217                      | 217          | -          | -                    | -             |
| <b>X. Health, Life, and Dental</b>  |                            |              |            |                      |               |
| Funding Request   | \$20,102                   | \$20,102.00  | \$0.00     | \$0.00               | \$0.00        |
| <b>Additional Appropriations Needed for Net to Gross and Increased Employer Contributions</b> | <b>\$625</b>               | <b>\$625</b> | <b>\$0</b> | <b>\$0</b>           | <b>\$0</b>    |



## IEC Salary Pots Request

| Common Policy Line Item | FY 2019-20<br>Appropriation | GF       | CF  | RF  | FF  |
|-------------------------|-----------------------------|----------|-----|-----|-----|
| Salary Survey           | \$0                         | \$0      | \$0 | \$0 | \$0 |
| Merit Pay               | \$4,080                     | \$4,080  | \$0 | \$0 | \$0 |
| Shift                   | \$0                         | \$0      | \$0 | \$0 | \$0 |
| AED                     | \$6,253                     | \$6,253  | \$0 | \$0 | \$0 |
| SAED                    | \$6,253                     | \$6,253  | \$0 | \$0 | \$0 |
| Short-term Disability   | \$213                       | \$213    | \$0 | \$0 | \$0 |
| Health, Life and Dental | \$19,139                    | \$19,139 | \$0 | \$0 | \$0 |
| TOTAL                   | \$35,938                    | \$35,938 | \$0 | \$0 | \$0 |
| Common Policy Line Item | FY 2020-21<br>Total Request | GF       | CF  | RF  | FF  |
| Salary Survey           | \$0                         | \$0      | \$0 | \$0 | \$0 |
| Merit Pay               | \$2,810                     | \$2,810  | \$0 | \$0 | \$0 |
| Shift                   | \$0                         | \$0      | \$0 | \$0 | \$0 |
| AED                     | \$6,378                     | \$6,378  | \$0 | \$0 | \$0 |
| SAED                    | \$6,378                     | \$6,378  | \$0 | \$0 | \$0 |
| Short-term Disability   | \$217                       | \$217    | \$0 | \$0 | \$0 |
| Health, Life and Dental | \$20,102                    | \$20,102 | \$0 | \$0 | \$0 |
| TOTAL                   | \$35,885                    | \$35,885 | \$0 | \$0 | \$0 |
| Common Policy Line Item | FY 2020-21<br>Incremental   | GF       | CF  | RF  | FF  |
| Salary Survey           | \$0                         | \$0      | \$0 | \$0 | \$0 |
| Merit Pay               | \$2,810                     | \$2,810  | \$0 | \$0 | \$0 |
| Shift                   | \$0                         | \$0      | \$0 | \$0 | \$0 |
| AED                     | \$125                       | \$125    | \$0 | \$0 | \$0 |
| SAED                    | \$125                       | \$125    | \$0 | \$0 | \$0 |
| Short-term Disability   | \$4                         | \$4      | \$0 | \$0 | \$0 |
| Health, Life and Dental | \$963                       | \$963    | \$0 | \$0 | \$0 |
| TOTAL                   | \$4,027                     | \$4,027  | \$0 | \$0 | \$0 |

## Independent Ethics Commission FTE Detail

| Object Code 1110,1111,1210,1211 | FY2017-18   |     | FY2018-19   |     |
|---------------------------------|-------------|-----|-------------|-----|
|                                 | Total Funds | FTE | Total Funds | FTE |
| Position Detail:                |             |     |             |     |
| Executive Director              | 117,635     | 1.0 | 121,117     | 1.0 |
|                                 |             |     |             |     |
| Total Full-Time/Part-Time Wages | 117,635     | 1.0 | 121,117     | 1.0 |