

2008-09 Spending Plan	Agency Name	<i>New York State Commission on Public Integrity</i>
	Agency Head	<i>Herbert Teitelbaum</i>

A. Overview of Proposed Plan

A.1 Overall Approach

The New York State Commission on Public Integrity (CPI) reviewed its overall operation, including its organizational structure and staffing plan. Having undergone a consolidation of two Commissions and their respective enabling legislation in September 2007, the Commission has reallocated staff to handle program areas that were backlogged. We have also streamlined functional areas to work more efficiently. Further, utilizing experienced Information Technology and administrative staff from the Lobby Commission, CPI will eliminate duplicative technology support from the Department of State and operate its own Information Technology and administrative functions resulting in further savings. CPI's overall approach will utilize the full capability of its electronic applications to reduce paper and mailing costs, speed up processing time for statutory filings, increase user friendliness for both its staff and customer population and extend training and education resources.

A.2 Achievement of Savings on a Recurring Basis

The Commission will be utilizing its Information Technology Unit to implement changes to the On-line Lobbyist application and Financial Disclosure System as well as to add new features to its website. These changes will eliminate costly printing and mailing and reduce workload on staff to process lobbying and ethics filings and will extend training resources. Transitioning to an independent Information Technology and administrative function will eliminate the current administrative chargebacks from the Commission's host agency for functions which became duplicative as a result of the merger. All NPS expenses will be subject to the Executive Director's approval.

A.3 Protecting Key Priorities

Our key priorities are:

- Increase average turnaround time for informal opinions.
- Modify the Financial Disclosure System to electronically eliminate errors and omissions and eliminate costly mailings to filers.
- Speed up processing time for Lobbyist and Ethics filings.
- Develop and implement an on-line training program for State employees.
- Increase the percentage of General Fund revenues processed electronically.
- Eliminate backlogs in Investigation Unit and accelerate completion of investigations.

A.4 Treatment of New Initiatives

The Commission's mandate has been expanded to include additional responsibilities to address violations of Civil Service Law §107, Legislative Law §1-a, broader jurisdiction over Public Officers Law §74 and prohibitions on nepotism. This expanded jurisdiction, along with current understaffing within the Legal and Investigation unit, resulted in the addition of four staff, including two attorneys, a paralegal and an investigator, as part of the enacted budget. The Commission plans to move forward with filling these positions.

B. Summary of General Fund Financial Impacts

GENERAL FUND -- SAVINGS SUMMARY			
	<u>Required Reduction</u>	<u>2008-09 Savings</u>	<u>2009-10 Savings</u>
Local Assistance	---	---	---
Personal Service	N/A	135,000	135,000
Non-personal Service	N/A	65,000	65,000
Total State Operations	200,000	200,000	200,000
Capital			
TOTAL	\$200,000	\$200,000	\$200,000

GENERAL FUND -- YEAR-TO-YEAR CHANGE, AFTER SAVINGS			
	<u>2007-08 Actual</u>	<u>Revised Projection</u>	<u>Percent Change</u>
Local Assistance	---	---	---
Personal Service	---	3,999,000	---
Non-personal Service	---	1,360,000	---
Total State Operations	---	5,359,000	---
Capital			
TOTAL	---	5,359,000	---

C. Identification of Proposed General Fund Actions

	2008-09 Cash	2009-10 Cash	2010-11 Cash
GENERAL FUND			
Local Assistance	N/A	N/A	N/A
State Operations			
1. Fill vacancies at lower salaries when possible.	60,000	60,000	60,000
2. Modify electronic filing applications to eliminate costly mailing of Passwords and User IDs as well as improve processing time.	35,000	35,000	35,000
3. Reduce usage of printed training material and reduce mailing costs.	30,000	30,000	30,000
4. Eliminate chargebacks from the Department of State for duplicative IT and administrative services.	75,000	75,000	75,000
Capital Projects	N/A	N/A	N/A

D. Summary of Impact on Other Funds

N/A

E. Identification of Proposed Other Fund Actions

N/A

F. Plan to Manage the Workforce*F.1 Overall Approach*

The Commission reviewed its organizational structure and staff assignments. Its plan includes reallocating staff to handle backlog in processing financial disclosure statements (FDS), audits of FDS filings by the Investigation Unit and processing investigation complaints. The Commission evaluated existing vacancies to determine which positions were critical to the Commission's mission and needed to be refilled. When filling these positions, the Commission will seek to identify qualified candidates at a lower hiring rate.

F.2 Plan for Refill of Vacant Positions (both current and anticipated vacancies)

- Refill vacant Director of Training position.
- Refill vacant Associate Counsel position.
- Refill vacant Investigator position.
- Replace vacant Program Education Assistant position with an Information Technology Specialist position.
- Refill retiring Confidential Stenographer position from existing staff at lower rate.
- Hire two additional Associate Counsel near hiring rate.
- Hire less costly Paralegal instead of another Associate Counsel.

Workforce Impact -- All Funds	
a. Initial Target: x,xxx [for reference]	62
b. Current Fills PP# 3 or 4	54
c. Recurring Impact of proposed actions (see Parts C & E)	0
d. Recurring impact of vacancy-refilling plan (see F.2)	+8
e. Total FTEs March 31, 2009 (line b minus line c, plus/minus line d)	62
f. Change from Initial 2008-09 Target (line a minus line d)	0

G. Monthly Projections: All Funds Workforce; General Fund State Operations/Local/Capital

	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	TOTAL
A. Workforce - All Funds	56	54	54	58	61	61	61	61	61	61	61	61	61
Est FTEs Month-end													
B. State Operations													
Personal Service													
1st PP	137,740	150,080	150,405	140,265	154,359	157,523	157,523	157,523	157,523	157,523	157,523	157,523	1,835,510
2nd PP	137,700	150,080	150,405	157,509	157,523	157,523	157,523	157,523	157,523	157,523	157,523	157,523	1,855,878
3rd PP (if applies)	150,072	0	0	0	0	0	157,523	0	0	0	0	0	307,595
Subtotal PS	425,512	300,160	300,810	297,774	311,882	315,046	472,569	315,046	315,046	315,046	315,046	315,046	3,998,983
NPS	38,200	339,000	205,600	79,000	87,200	72,600	118,600	70,550	81,550	79,750	72,750	114,600	1,359,400
Total Disbursements -- State Ops	463,712	639,160	506,410	376,774	399,082	387,646	591,169	385,596	396,596	394,796	387,796	429,646	5,358,383
C. Local Assistance													
Program x	0	0	0	0	0	0	0	0	0	0	0	0	0
Program y	0	0	0	0	0	0	0	0	0	0	0	0	0
Program z	0	0	0	0	0	0	0	0	0	0	0	0	0
All other local assistance	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Disbursements - Local	0												
D. Capital Projects													
Program/project aa	0	0	0	0	0	0	0	0	0	0	0	0	0
Program/project bb	0	0	0	0	0	0	0	0	0	0	0	0	0
Program/project cc	0	0	0	0	0	0	0	0	0	0	0	0	0
All other Capital Projects	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Disbursements - Capital	0												

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H. Assumptions Underlying the Proposed Plan

- The Commission’s successful transition from Department of State by the end of June 2008 to independently operate its own Information Technology and Administrative functions.
- The Information Technology Department hires an Information Technology Specialist for programming by July 2008 to work in conjunction with its current Information Technology Specialist to redesign, test, launch and maintain a new Financial Disclosure System for the 2009 filing year.
- Development and implementation of on-line Ethics training program by August 2008.

I. Management of Risks Inherent in the Plan

- It is extremely important to implement our proposals between June and July of this year to maximize savings.
- Legal and Investigative staff positions must be filled by July in order to reduce backlog and responsibly fulfill both previous and new mandates included in the Commission’s enabling legislation.
- Software training must begin soon for CPI staff, so that the on-line training program can be designed and launched to reduce backlog in training State Agencies on the Ethics Law.
- Fiscal functions and Information Technology functions must be transitioned in the first quarter of 2008 to minimize Department of State administrative chargebacks.
- Identify qualified candidates for attorney and investigator positions that are will to accept employment at hiring rate.
- Additional attrition in Legal and Investigation Unit because there is continued insufficient staffing to handle growing workload.

J. Additional Savings Opportunities for 2008-09

Since the Commission has been in a state of consolidation and transition during the second half of FY 2007-2008, it is difficult to assess further savings at this time.

K. Potential Future Savings Opportunities/Operational Improvements (indicate if statutory change is required)

- Unidentified at this time.
- After transition, the Commission will review further savings opportunities.