

Connecticut Office of State Ethics

Public Officials and State Employees



Ethics in Government Today

Ethics is knowing the difference
between what you have a right to do
and what is right to do.

Potter Stewart

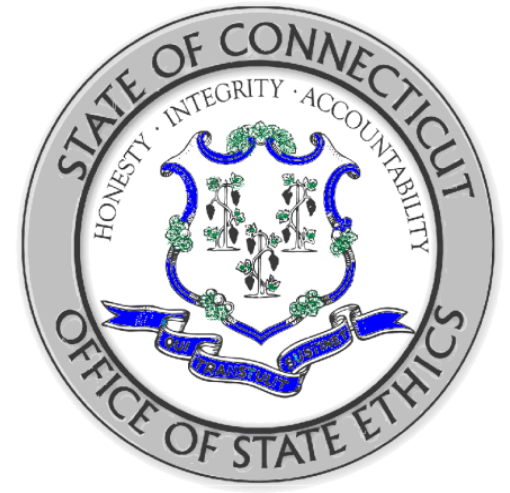



Our Mission

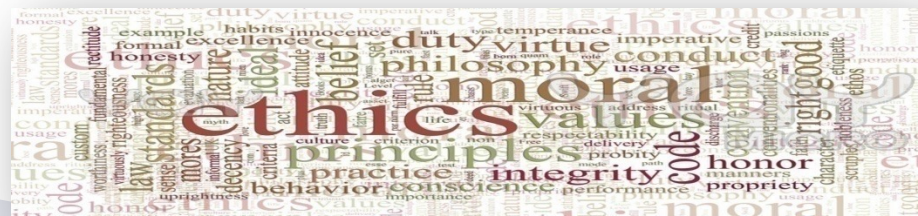
The Connecticut Office of State Ethics practices and promotes the highest ethical standards and accountability in state government by providing education and legal advice, ensuring disclosure, and impartially enforcing the Codes of Ethics.



Objectives

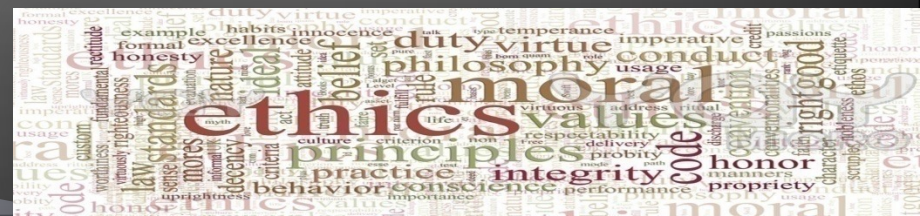


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- ▶ The Big Picture
 - HONESTY ♦ INTEGRITY ♦ ACCOUNTABILITY
 - ▶ Four General Areas of Oversight
 - GIFTS AND NECESSARY EXPENSES
 - ETHICS AT WORK
 - CONFLICTS AND CONTRACTING
 - STATEMENTS OF FINANCIAL INTERESTS
 - ▶ Review Resources Available for Compliance



Connecticut Office of State Ethics

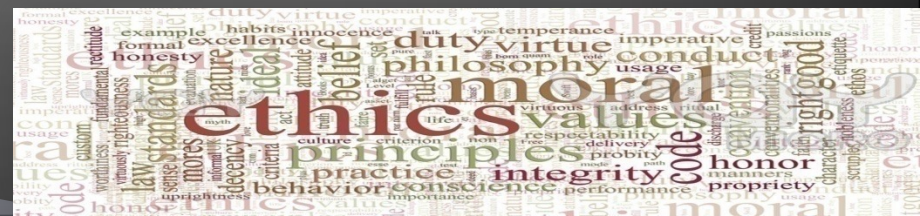
- ▶ Who is covered by the Codes of Ethics?
 - All State Officials and Employees (Except Judges)
 - Lobbyists
 - Contractors
- ▶ What's the point?
 - The law is intended to prevent individuals from using public position or authority for personal financial benefit.



Ethics Oversight: Gifts

Three types of Donors

- ▶ Restricted Donors
- Registered lobbyists
- Regulated by, doing or seeking to do business with agency
- DAS “pre-qual” list
- ▶ Non-restricted, given by virtue of your position
- ▶ Non-restricted, giving not related to state service



Ethics Oversight: Gifts

- ▶ **What is a gift?**
 - Anything of value
 - Directly and personally received
 - Unless consideration is given
- ▶ **Gift Exceptions**
 - 19 Gift Exceptions



Ethics Oversight: Gifts

- ▶ Token Items
- ▶ Food and Beverage
- ▶ Major Life Events
- ▶ Gifts to the State
- ▶ Ceremonial Plaques
- ▶ Rebates or Discounts



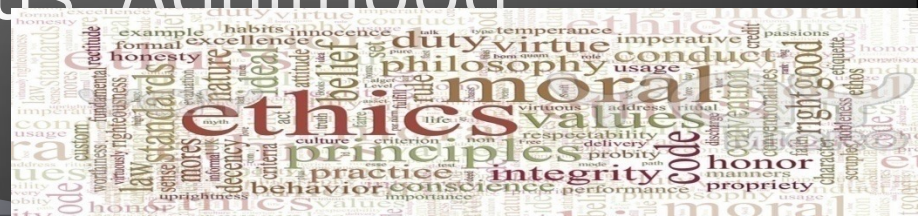
Ethics Oversight: Gifts

- ▶ Gift giving to public officials or state employees must be reported within 10 days by providing the gift recipient and the head of that individual's department or agency a written report stating:
 - Name of the donor;
 - Description of item(s) given;
 - Value of such item(s); and
 - Total cumulative value of all items to date to the recipient during the calendar year



Ethics Oversight: Gifts

- ▶ Subordinates and Supervisors
 - \$99.99 Limit Per Gift
 - No Pooling
- ▶ Major Life Event – Limit \$1,000
 - Birth or Adoption of a Child
 - Wedding
 - Funeral
 - Induction into Religious Adulthood
 - Retirement



Ethics Oversight: Necessary Expenses

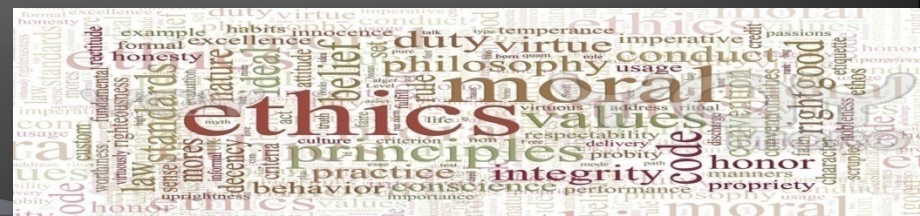
- ▶ What are Necessary Expenses?
 - Travel
 - Lodging
 - Meals
 - Related conference expenses
- ▶ Official Capacity & Active Participation
- ▶ Necessary Expenses must be reported within 30 days



Ethics Oversight: Gifts

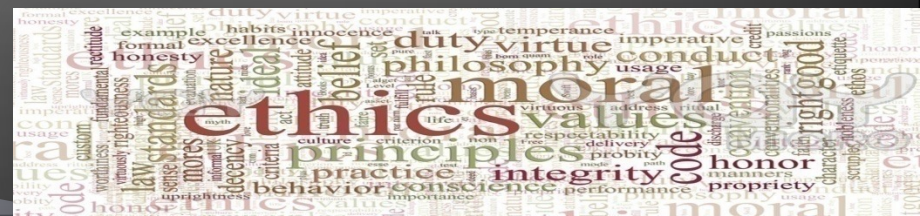
► GIFTS TO THE STATE

- Goods and services provided to a state agency or quasi-public agency for use on state or quasi-public agency's property or that support an event, and which facilitate state action or functions



Ethics Oversight: Gifts

- ▶ **GIFTS TO THE STATE**
- ▶ **2013 Legislative Change** (Eff. October 1, 2013)
 - Restricted donors may provide goods and services that support participation of officials and employees at an event (e.g., conference, site tour, training), provided the event facilitates state action or functions



Ethics Oversight: At Work

► On The Job:

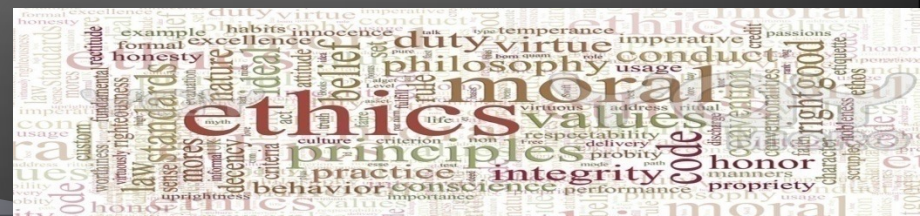
You may not use your state position for:

- Your own financial gain
- The gain of your family
(spouse, child, child's spouse, parent, brother or sister)
- The gain of an associated business

► After Hours:

Outside Employment

- Cannot impair your independence of judgment
- No disclosure of confidential information
- No use of state time, materials or personnel
- 1-84d Limited Provision – Representing others before 11 listed agencies



Ethics Oversight: At Work

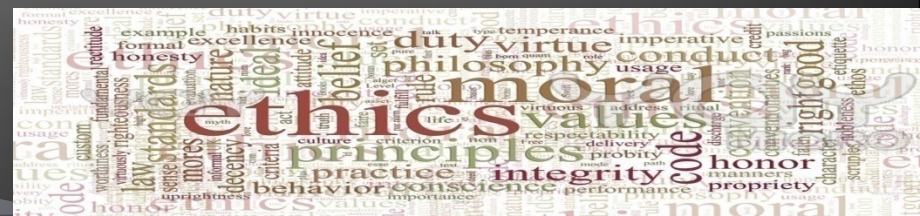
Leaving State Service - Revolving Door

► Lifetime Ban

- Disclosure of confidential information
- Ban on representation concerning matters in which public official or state employee participated

► One Year Ban

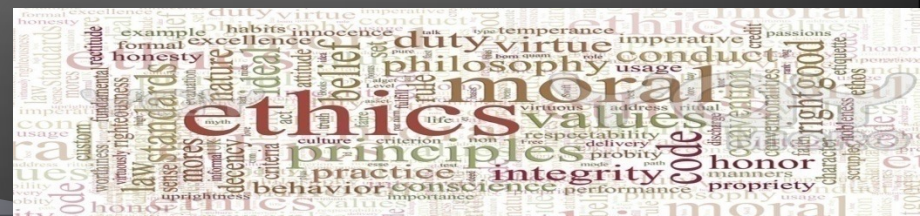
- Representing others before former agency
- Contracts over \$50,000 (1 yr.)



Ethics Oversight: Conflicts

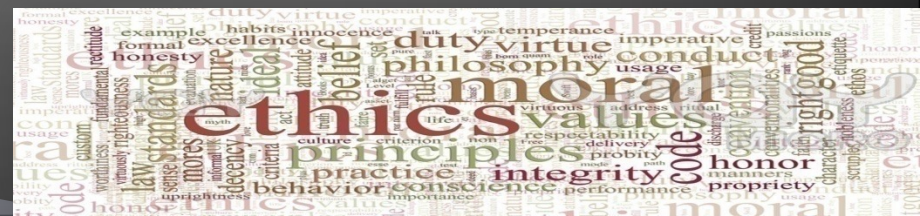
A public official or employee has *reason to believe or expect* that he, his spouse, a dependent child, or a business with which he is associated will derive a *direct* monetary gain or suffer a *direct* monetary loss by reason of his official activity

Abstention or recusal – mandatory



Ethics Oversight: Contracting

- ▶ No contracts valued at > \$100
- ▶ Unless awarded through open, public process
- ▶ Prohibition for agency heads

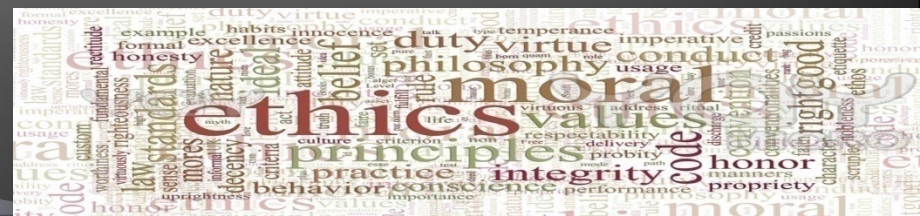


Ethics Oversight: SFI

Statements of Financial Interests

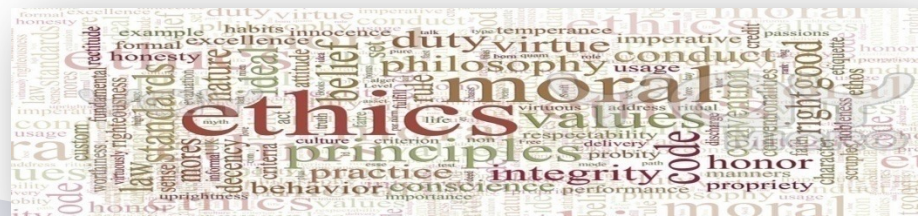
Policy

- ▶ Statements of Financial Interests (“SFIs”) serve as a tool to maximize public confidence in governmental decision making.



Ethics Oversight: SFI

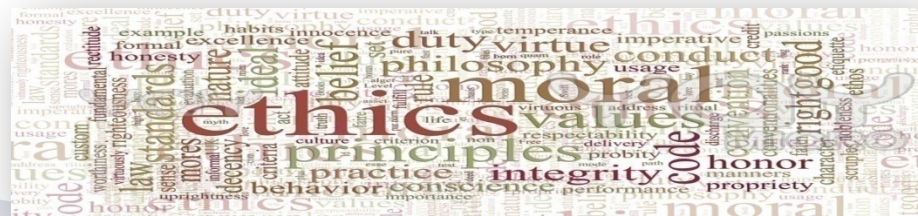
- ▶ Required filers are either enumerated by statute (e.g., state wide elected officers, members of the General Assembly, agency heads and their deputies) or are designated by the Governor
- ▶ Must file SFIs by May 1 of each year



Ethics Oversight: SFI

► **SFI Disclosures:**

- Associated businesses
- Sources of income over \$1,000
- Securities in excess of \$5,000
- Real estate holdings
- Leases or contracts with the state
- Debts over \$10,000



Ethics Compliance

Important Points:

- ▶ Each state agency has an ethics liaison and/or a compliance officer.
- ▶ Each state agency has its own ethics policy, which can be more restrictive than the Code of Ethics.
- ▶ Mandatory Reporters for violations of the Code of Ethics for Public Officials
 - Commissioner
 - Deputy Commissioner
 - State / Quasi Public Agency Head and Deputy Head
 - Individuals in charge of state agency procurement and contracting

Ethics Enforcement

Important Points:

- ▶ Enforcement of the ethics codes is initiated by a complaint, filed by any member of the public or by an Ethics Enforcement Officer.
- ▶ Any complaint and while an investigation is ongoing remains confidential. No one may disclose that a complaint has been filed or any information related to the complaint.
- ▶ Upon a finding that there has been a violation the respondent may be ordered to:
 - Comply with the Code in the future;
 - File any required report or statement; and/or
 - Pay a civil penalty of no more than \$10,000 per violation.

Contact Us



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