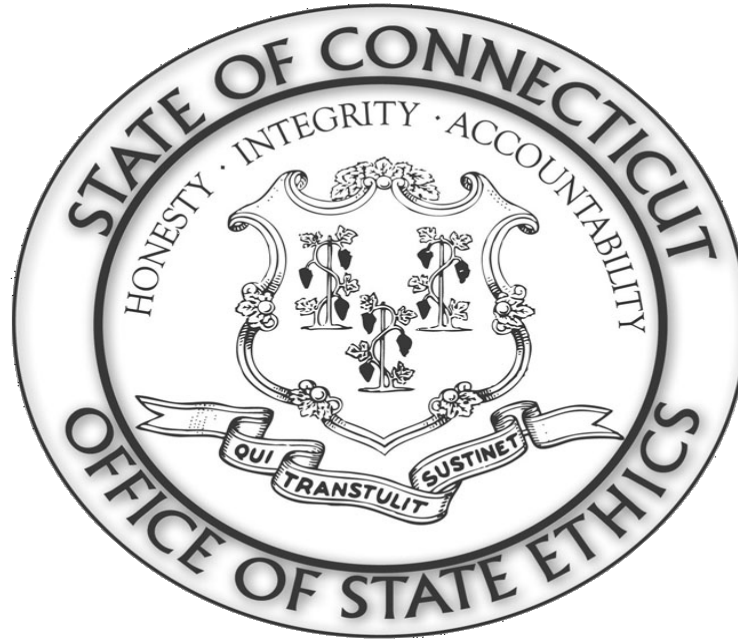


Ethics 101

for State Employees



Part I of the Code of Ethics

www.ct.gov/ethics 860-566-4472



Common Sense





Workshop Objectives

- Introduce the Office of State Ethics
- Identify main points of the Code of Ethics
- Review resources available to help you comply with the Code



Office of State Ethics (OSE)

- Public Act 05-183
 - Created OSE
 - Effective July 1, 2005
- Citizen's Ethics Advisory Board
 - 9 appointed members
 - Monthly open meetings
- Connecticut General Statutes, Chapter 10, Parts I and II



Office of State Ethics (OSE)

- Educate Regulated Community
- Provide Public Information
- Interpret and Apply the Codes
- Investigate Potential Violations, Prosecute Violations



The Big Picture

- Who is covered by the Codes of Ethics?
 - All state officials and employees (except judges)
 - Certain provisions also apply to *former* public officials and employees
 - Lobbyists
 - Certain provisions apply to contractors



Gifts - Definition

- A gift is:
 - Anything of value
 - Directly and personally received
 - *Unless* consideration of equal or greater value



Gifts - Sources

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



Gifts – From Regulated Donors

- Any item of value; < \$10 with annual aggregate < \$50
- Food and beverage; < \$50 and person paying is in attendance
- No limit if:
 - Gift from family member
 - For major life event from registered lobbyist
- Other gift exceptions



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, and which facilitate state action or functions



Training

- Vendors may provide public officials and state employees with training for a product purchased by a state or quasi-public agency provided such training is offered to all customers of that vendor



Conferences/Workshops Prohibited

- It is no longer permissible for a state agency to accept conference or workshop registration from regulated donors

(certain costs for conferences or workshops may be reimbursed under necessary expenses)



Gifts – From Non-regulated Donors

- If given by virtue of one's state position
 - Any item of value; < \$100 per year
 - All gift exceptions
- If not given by virtue of state service
 - No limit



Gift Reporting - § 1-84 (o)

- 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



Gifts – Summary Chart

Donors	Gifts	Exceptions
Regulated (lobbyists, vendors/contractors)	Don't Accept	§ 1-79 (e) 1-17
Non-regulated, giving motivated by your position	Up to \$100 from each source per year	§ 1-79 (e) 1-17
Non-regulated, giving not motivated by your position	No ban, no limits	N/A



1-84 (p)

- Gifts between Subordinates and Supervisors:
 - \$99.99 limit per gift
 - No pooling for group gifts *except* when there is a major life event



Necessary Expenses

- No fees/honorariums for articles or speeches in official capacity
- Necessary Expenses
 - Travel
 - Lodging
 - Meals
 - Related conference expenses



Outside Employment

- Precautions:
 - Cannot impair public official's or state employee's independence of judgment
 - No disclosure of confidential information
 - No use of state time, materials or personnel
- Translation: employee may not accept outside employment with a business that can benefit from his or her state actions



Section 1-84 (d)

Working for an entity that represents others before 13 agencies below is not permitted:

State Insurance and Risk Management Board	Department of Consumer Protection: liquor control
Claims Commissioner	Department of Motor Vehicles
Office of Health Care Access	Gaming Policy Board
Insurance Department	Division of Special Revenue
Department of Environmental Protection	Connecticut Real Estate Commission
Department of Public Utility Control	Connecticut Siting Council
Department of Banking	



Revolving Door

- Disclosure of confidential information (lifetime)
 - Ban on representation concerning matters in which public official or state employee participated (lifetime)
-
- Representing others before former agency (1 yr.)
 - Contracts over \$50,000 (1 yr.)



Contracting with the State

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



Other Considerations

- P.A. 05-287 (Chapter 10, Part IV)
 - Contracts can be terminated based on unethical behavior
- Public Act 07-1 – An Act Concerning Clean Contracting Standards
- *Individual state agencies may have more restrictive ethics policies*



Enforcement

Upon a finding that there has been violation of Code or § 1-101nn, Board may order:

1. Cease and desist;
 2. File any report or statement as required; and
 3. Pay a civil penalty of no more than \$10,000 for each violation
- Confidentiality provisions and filing a complaint



OSE Resources

- Web Site: www.ct.gov/ethics
- Phone: 860-566-4472
- E-Mail: ose@ct.gov
- Educational Outreach
 - Electronic Newsletter
 - Plain-language Guides
 - Online Training