

**Existing Positions at Certain Regulatory Agencies
Subject to Post-State Employment Prohibitions**



Office of State Ethics
Peter Lewandowski, Executive Director



Existing Positions at Certain Regulatory Agencies Subject to Post-State Employment Prohibitions

Public Act 21-164 An Act Concerning the Office of State Ethics

Positions Subject to Revolving Door Provisions (§ 9)

The Code of Ethics for Public Officials generally prohibits public officials and state employees in certain regulatory agencies who hold positions with significant decision-making or supervisory responsibilities from accepting employment for one year after leaving state service with a business subject to regulation by their former agency. (The prohibition is two years for certain employment in the gaming industry.) Under current law, covered positions are designated by the Office of State Ethics (“OSE”), in consultation with the applicable agency, and adopted as regulations by Citizen’s Ethics Advisory Board (“CEAB”).

Public Act 21-164 requires that by November 1, 2021, and at least annually from then on, the act instead requires the heads of certain executive branch regulatory agencies or their designees to electronically submit to OSE designations of all existing positions that are subject to these restrictions. They must do so in a manner CEAB prescribes. As under current law, they must make these designations in consultation with the OSE.

Under the act, the agency head or designee must submit any newly created positions that are subject to these provisions, but not included in the annual submission to OSE, within 30 days after the position’s creation. OSE must prepare a list of all designated positions and post it on its website.

As under current law, the designation requirement applies to the Office of Health Strategy’s Health Systems Planning Unit; Connecticut Siting Council; Department of Banking; Insurance Department; Department of Emergency Services and Public Protection; the Public Utilities Regulatory Authority, including the Office of Consumer Counsel; and the Department of Consumer Protection.

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Designated Positions Section 1-84b (c) Designations

SECTION 1-84b (c) DESIGNATIONS

APPLICABLE LAW - Section 1-84b (c) provides as follows:

(c) The provisions of this subsection apply to present or former executive branch public officials or state employees of an agency who hold or formerly held positions which involve significant decision-making or supervisory responsibility. Such positions shall be designated as such by the agency concerned, in consultation with the Office of State Ethics, except that such provisions shall not apply to members or former members of the boards or commissions who serve ex officio, who are required by statute to represent the regulated industry or who are permitted by statute to have a past or present affiliation with the regulated industry. On or before November 1, 2021, and not less than annually thereafter, the head of each agency concerned, or his or her designee, shall submit the designation of all positions in existence on such date that are subject to the provisions of this subsection to the office electronically, in a manner prescribed by the Citizen's Ethics Advisory Board. If an agency creates such a position after its annual submission under this subsection, the head of such agency, or his or her designee, shall submit the designation of the newly created position not later than thirty days after the creation of such position. As used in this subsection, "agency" means the Health Systems Planning Unit of the Office of Health Strategy, the Connecticut Siting Council, the Department of Banking, the Insurance Department, the Department of Emergency Services and Public Protection, the office within the Department of Consumer Protection that carries out the duties and responsibilities of sections 30-2 to 30-68m, inclusive, the Public Utilities Regulatory Authority, including the Office of Consumer Counsel, and the Department of Consumer Protection and the term "employment" means professional services or other services rendered as an employee or as an independent contractor.

(1) No public official or state employee in an executive branch position designated pursuant to the provisions of this subsection shall negotiate for, seek or accept employment with any business subject to regulation by his agency.

(2) No former public official or state employee who held such a position in the executive branch shall, within one year after leaving an agency, accept employment with a business subject to regulation by that agency.

(3) No business shall employ a present or former public official or state employee in violation of this subsection.

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Designated Positions by Agency - Section 1-84b (c) Designations

Department of Banking

Banking Commissioner
Deputy Banking Commissioner
Director of Financial Institutions
Director of Securities & Business Investments Division
Director of Consumer Credit Division
Director of Government Relations and Consumer Affairs and
Fiscal Administrative Manager 1

Insurance Department

Commissioner
Deputy Commissioner
Director of Consumer Affairs
Director of Property & Casualty Division
Director of Life & Health Division
Director of Legal Division
Director of Financial Regulation Division
Director of Market Conduct/Fraud Investigation & Licensing Division
Chief Insurance Actuary
Insurance Program Manager – Captive Insurance

The Health Systems Planning Unit of the Office of Health Strategy

Executive Director
Deputy Director
General Counsel
Planning Analyst
Principal Health Care Analyst
HSP Manager

Connecticut Siting Council

Members Appointed by the Governor (5)
Member Appointed by President Pro Tempore of the Senate
Member Appointed by Speaker of the House
Executive Director

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Designated Positions by Agency - Section 1-84b (c) Designations (Continued)

Public Utilities Regulatory Authority

Chairperson
Vice-Chairperson
Commissioner
Office Director (Legal)
Public Utility Chief of Utility Regulation
Director of Legislation, Regulations and Communications
Public Utilities Director of Utility Regulation
Procurement Manager
Director of Adjudications

Department of Consumer Protection

Commissioner
Deputy Commissioner
Legal Director
Legal Program Director
State Program Manager within Legal

Liquor Control Division, Department of Consumer Protection

Chairman
Commissioners
CP Division Director for Liquor

Department of Emergency Services and Public Protection

Commissioner
Deputy Commissioner (Colonel) of the Division of State Police
Deputy Commissioner of the Division of Emergency Management and Homeland Security
Director of the Division of Statewide Emergency Telecommunications
Agency Legal Director

Office of Consumer Counsel

Consumer Counsel
Supervisor of Utility Financial Analysis

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Designated Positions Section 1-84b (d) Designations

SECTION 1-84b (d) DESIGNATIONS

APPLICABLE LAW - Section 1-84b (d) - (e) provides as follows:

(d) The provisions of subsection (e) of this section apply to (1) present or former Department of Consumer Protection public officials or state employees who hold or formerly held positions which involve significant decision-making or supervisory responsibility and designated as such by the department, in consultation with the Office of State Ethics, and (2) present or former public officials or state employees of other agencies who hold or formerly held positions which involve significant decision-making or supervisory responsibility concerning the regulation or investigation of (A) any business entity (i) engaged in Indian gaming operations in the state, and (ii) in which a federally-recognized Indian tribe in the state owns a controlling interest, or (B) a governmental agency of a federally-recognized Indian tribe engaged in Indian gaming operations in the state, which positions are designated as such by the agency concerned, in consultation with the Office of State Ethics. On or before November 1, 2021, and not less than annually thereafter, the Commissioner of Consumer Protection and the head of each agency concerned, or their designees, shall submit designations of all positions in existence on such date that are subject to the provisions of this subsection to the office electronically, in a manner prescribed by the Citizen's Ethics Advisory Board. If the department or agency concerned creates such a position after its annual submission under this subsection, the Commissioner of Consumer Protection or the head of such agency, as applicable, or their designees, shall submit the designation of the newly created position not later than thirty days after the creation of such position.

(e) (1) No Department of Consumer Protection public official or state employee or other public official or state employee described in subdivision (2) of subsection (d) of this section shall negotiate for, seek or accept employment with (A) a business entity (i) engaged in Indian gaming operations in the state, and (ii) in which a federally-recognized Indian tribe in the state owns a controlling interest, or (B) a governmental agency of a federally-recognized Indian tribe engaged in Indian gaming operations in the state.

(2) No former Department of Consumer Protection public official or state employee or other former public official or state employee described in subdivision (2) of subsection (d) of this section, who held such a position shall, within two years after leaving such agency, accept employment with (A) a business entity (i) engaged in Indian gaming operations in the state, and (ii) in which a federally-recognized Indian tribe in the state owns a controlling interest, or (B) a governmental agency of a federally-recognized Indian tribe engaged in Indian gaming operations in the state.

(3) As used in this subsection, “employment” means professional services or other services rendered as an employee or as an independent contractor.

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Designated Positions by Agency - Section 1-84b (d) Designations

Department of Consumer Protection – Gaming

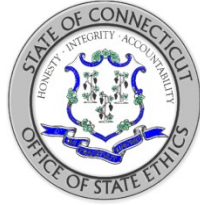
- CP Division Director for Gaming
- Special Revenue Assistant Unit Head (Hearings)
- CP Gaming Regulation Supervisor (Casino)
- Supervising Accounts Examiner (Casino)
- Accounting Manager
- License and Applications Supervisor (Casino)
- Application Review Committee Members
- State Program Manager within Legal having responsibilities for Gaming

Department of Emergency Services and Public Protection

- Commissioner
- Deputy Commissioner (Colonel) of the Division of State Police

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CONTACT US



Agency Address: Connecticut Office of State Ethics
165 Capitol Avenue
Suite 1200
Hartford, CT 06106

Telephone: 860-263-2400

Facsimile: 860-263-2402

Website: ct.gov/ethics

Business Hours: 8:00 am to 5:00 pm

Specific E-mail Contacts: For the timeliest responses, please be sure to direct your questions to the appropriate e-mail address; for example, with a question such as, "Can I accept this outside position with a vendor?" please be sure to send your query to ethics.code.@ct.gov

Legal Advice Regarding Code of Ethics
Lobbyist Filing/Reporting Questions
Public Official Filing/Reporting Questions
Enforcement/Filing a Complaint
All Other Inquiries

ethics.code@ct.gov
lobbyist.ose@ct.gov
sfi.ose@ct.gov
ethics.enforcement@ct.gov
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Staff Phone Number Listing