

OSE NEWS

January 2022

Announcement of New Position

Dear Ethics Liaisons and Compliance Officers,

I have news to share! After 10 years as the Director of Education and Communications, I have accepted a position with the Secretary of the State as the Assistant Director for the Business Services Division. My last day with the Office of State Ethics is January 27, 2022.

I will miss working with all of the State of Connecticut Ethics Liaisons and Compliance Officers!

It has been a privilege to serve this agency and to have worked with each and every one of you. Even though I will miss all my colleagues at the Office of State Ethics, I am looking forward to this new challenge.

Thank you again for a terrific ten years. I wish you all the best and please keep in touch. I am certain my state e-mail address will remain the same.

Sincerely,
Nancy

P.S.

Don't forget, everything you need can be found in the [Ethics Liaisons – Compliance Officer Corner](#).

Transition Contacts

Main Phone Number:

860-263-2400

[Staff Phone Directory](#)

Media – Legislation – Publications – In-person training

Peter Lewandowski, Executive Director

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Legal Advice

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IT Systems Support - Website

Ann Morgan, Information Technology Analyst III

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SFI Support – Maintain Filers

Henry Herschkorn, Fiscal Administrative Officer

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Ethics Liaison Action Items

REMINDER: Review Ethics Liaison List for Accuracy

Designation of Filers of Statements of Financial Interests

Please prepare for the May 2, 2022 Statements of Financial Interests filing deadline. Recent retirements, and employee transfers may require changes to your list of required SFI filers.

Please take some time during the upcoming weeks to update the list of SFI filers using the online filing system. Please complete updates by **March 1, 2022**. We will send our first reminder to SFI filers on March 15, 2022.

Governor's Standard and Designation Guidelines (Rev. 11/2021)

The current standard requires “filing of Annual Statements of Financial Interests by all persons in the Executive Branch and Quasi-Public Agencies who exercise (i) significant policy-making, regulatory or contractual authority; (ii) significant decision-making and/or supervisory responsibility for the review and/or award of State contracts; or (iii) significant decision-making and/or supervisory responsibility over staff that monitor State contracts.”

The designation list for each agency must be reviewed and updated by the Ethics Liaison.

For New Employees: Within ten days, the ethics liaison should add the new employee to the designation list and enter them into the filing system.

New employees who assume their designated positions after March 31 must file SFIs for the preceding year within 30 days of assuming such positions. New employees who assume their designated positions between January 1 and March 31 must file SFIs for the preceding year by May 1.

For Departing Employees: Within ten days, the ethics liaison must update the designation list and enter the departure date of the individual, this action prompts the Office of State Ethics to notice these individuals of their requirement to file an SFI within 60 days of their departure.

Current employees who are designated filers must file annually by May 1. Keep in mind that in 2022, the filing deadline is Monday, May 2.

SFI System

Detailed instructions on how to access the filing system to maintain existing filers or to add new filers is available on our website. Please see the [“Guide to the Statements of Financial Interests Filing System for Agency Ethics Liaisons.”](#)

For assistance, please e-mail henry.herschkorn@ct.gov.

From Governor Lamont's Office to Agency Ethics Liaisons

Before accepting employment with the state, individuals must be made aware of the Code of Ethics for Public Officials and State Employees, so that they will understand their general ethical duties as a state employee or public official. Therefore, during the interview process, each person must be given a summary of the State Code of Ethics and an ethics statement by the hiring agency. Furthermore, each new employee must also sign a statement acknowledging receipt of such summary and agree to comply with the requirements of the state ethics laws. Provided below is the letter from Governor Lamont that should be provided to each potential employee, the Public Officials and State Employees Guide to the Code of Ethics and a receipt acknowledgement form.

- [Letter from Governor Lamont](#)
- [Receipt of Code of Ethics Acknowledgement Form](#)
- [Public Officials and State Employees Guide to the Code of Ethics](#)

Our Number One Rule: Always Get Advice!



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