
 <p>State of Connecticut Department of Correction</p> <p>ADMINISTRATIVE DIRECTIVE</p>	Directive Number 1.13	Effective Date 4/15/2005	Page 1 of 6
	Supersedes New Directive		
Approved By 	Title Code of Ethics		

1. Policy. Employees of the Department of Correction, as representatives of the State of Connecticut, are assigned to positions of trust and responsibility that require them to observe the highest ethical standards. Strict compliance with the provisions of this directive is an essential aspect of employment with the Department.

2. Authority and Reference.
 - A. United States Code, 5 USC Sections 1501 through 1508.
 - B. Connecticut General Statutes, Sections 1-79 through 1-86, 1-86e through 1-89a, 5-266a and 18-81.
 - C. Executive Order No. 1, Governor Rell.
 - D. Regulations of Connecticut State Agencies, Sections 1-81-1, 1-81-14 through 1-81-38 (inclusive) and 5-266a-1.
 - E. DAS General Letter No. 214-D, revised 1995.
 - F. American Correctional Association, Standards for the Administration of Correctional Agencies, Second Edition, April 1993, Standards 2-CO-1A-05, 2-CO-1A-29, 2-CO-1C-04 and 2-CO-1C-24.
 - G. American Correctional Association, Standards for Adult Correctional Institutions, Fourth Edition, January 2003, Standards 4-4012, 4-4024, 4-4048 and 4-4069.
 - H. American Correctional Association, Performance-Based Standards for Adult Local Detention Facilities, Fourth Edition, June 2004, Standards 4-ALDF-7B-05, 4-ALDF-7C-02, 4-ALDF-7C-03, 4-ALDF-7D-06 and 4-ALDF-7E-01.
 - I. American Correctional Association, Standards for Adult Probation and Parole Field Services, Third Edition, August 1998, Standards 3-3019, 3-3032, 3-3047, 3-3068 and 3-3069.
 - J. American Correctional Association, Standards for Correctional Training Academies, First Edition, May 1993, Standards 1-CTA-1A-11, 1-CTA-1C-01 and 1-CTA-1C-12.
 - K. Administrative Directives 2.1, Equal Employment Opportunity and Affirmative Action; 2.2, Sexual Harassment, 2.17, Employee Conduct and 2.22, Workplace Violence Prevention Policy.

3. Definitions. For the purposes stated herein, the following definitions apply:
 - A. Gift. A gift shall mean anything of value, which is directly and personally received, unless consideration of equal or greater value is given in return.

 - B. Substantial and Potential Conflicts. In reference to section 4(B)(1) of this directive, financial interests that "substantially conflict" include those from which the employee, the employee's spouse, dependent child or associated business would derive a direct monetary gain or suffer a direct monetary loss by reason of the employee's official activity.

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If the employee is faced with taking official action that will directly affect the employee's financial interest, or that of a family member or associated business, distinct from others in the employee's occupation or group (e.g., taking official action on the awarding of a contract to a private business the employee owns), the employee has a "substantial conflict" of interest under Section 1-85 of the Connecticut General Statutes and may not act under any circumstances. The employee shall not be considered to have a substantial conflict if the employee's financial interest is shared by the other members of the employee's profession, occupation or group. If, in the discharge of the employee's official duties, the employee is required to take action that would directly affect the employee's financial interest, or that of a family member (i.e., the employee's spouse, parent, brother, sister, child or child's spouse) or a business with which the employee is associated, the employee may have a "potential conflict" of interest. In that case, unless the interest is insignificant (i.e., less than \$100 in a calendar year), or no different than that of a substantial segment of the general public (e.g., a regulatory official approving an increase in residential electric rates), the employee must follow the rules outlined in Section 1-86 of the Connecticut General Statutes. Specifically, the employee must prepare a written report that describes the potential conflict and submit the report to the appropriate supervisor who shall reassign the matter.

4. Ethical Conduct. All Department employees shall comply with the requirements set forth in the Connecticut State Ethics Commission Code of Ethics for Public Officials. Furthermore, all Department employees shall comply with all the provisions of this directive regarding their ethical conduct and obligations as employees.
 - A. Employees of the Department of Correction shall:
 1. Strive in their professional and personal life to exemplify the Department's motto of P.R.I.D.E., Professionalism, Respect, Integrity, Dignity, and Excellence.
 2. Uphold the Department's fundamental duty to protect and serve the public, protect staff, and to safeguard the lives and property of offenders under the Department's supervision.
 3. Treat, with respect and dignity, the public, staff, and offenders in accordance with Administrative Directive 2.17, Employee Conduct.
 4. Ensure a workplace free of sexual harassment, discrimination, and workplace violence in accordance with Administrative Directives 2.1, Equal Employment Opportunity and Affirmative Action; 2.2, Sexual Harassment, 2.17, Employee Conduct and 2.22, Workplace Violence Prevention Policy.
 5. Be firm, fair, and consistent in the performance of all their assigned duties.

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6. Comply with all federal and state laws, in addition to the regulations of the Department in accordance with Administrative Directive 2.17, Employee Conduct.
7. Promptly report any corrupt, illegal, unauthorized, or unethical behavior.
8. Honor the confidentiality of information that has been entrusted to them in the performance of their duties.
9. Ensure objectivity in the course of their duties.
10. Maintain professional integrity in all interactions with offenders.
11. Dedicate themselves to the highest ideals of their profession as a correctional professional.

B. Ethics Code Prohibitions. The following shall be strictly prohibited for employees of the Department of Correction:

1. Any financial interest or engagement in any business, employment, transaction or professional activity, which "substantially conflicts" with the proper discharge of the employee's duties and responsibilities or employment in the public interest.
2. The acceptance of outside employment that impairs the employee's independent judgment as to his/her official duties or requires or induces the employee to disclose confidential information gained while employed by the Department of Correction.
3. The employee's use of his/her public position or any confidential information gained while employed by the Department of Correction for the employee's financial benefit or that of any employee family member (i.e., spouse, child, child's spouse, parent, brother or sister) or "associated business."
4. The solicitation or acceptance of anything of value including, but not limited to, a gift, loan, political contribution, reward or promise of future employment based on an understanding that the employee's official action will be influenced thereby.
5. Entrance into a contract with the State valued at \$100 or more, unless the contract has been awarded through an open and public process. Nor may any member of the employee's family or a business with which the employee is associated with, enter into any such contract unless awarded through an open and public process.
6. Acceptance of any gift(s) from a lobbyist or a representative of a lobbyist. Nor may any member of the employee's staff or immediate family knowingly accept a gift from a lobbyist or his/her representative. Any employee who receives a gift from a lobbyist or a representative of a lobbyist shall complete CN 11301, Gift Acknowledgment and Return Form. The completed CN 11301, Gift Acknowledgment and Return Form shall be attached to the gift and returned to the sender. A copy of the completed CN 11301, Gift Acknowledgment and Return Form shall also be forwarded to the Department's Ethics Liaison Officer.

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7. Acceptance of any gift from, or provision of any gift to, any person doing business with, seeking to do business with, or any person who is directly regulated by the Department of Correction. Any employee who receives a gift from any person doing business with, seeking to do business with, or any person who is directly regulated by the Department of Correction shall complete CN 11301, Gift Acknowledgment and Return Form. The completed CN 11301, Gift Acknowledgment and Return Form shall be attached to the gift and returned to the sender. A copy of the completed CN 11301, Gift Acknowledgment and Return Form shall also be forwarded to the Department's Ethics Liaison Officer.
 8. Acceptance of a fee or honorarium for an article, appearance or speech, or for participation in an event in the employee's official capacity. However, the employee is permitted to accept necessary expenses incident to such activity. If the employee is reimbursed for such expenses, the employee must file a report with the Ethics Commission within 30 days.
 9. Interference with or solicitation of lobby contracts for, or on behalf of, any person.
 10. Representing another for compensation, or being a member of a business that represents a client for compensation before various enumerated state agencies (e.g., Department of Motor Vehicles, Department of Public Utility Control, etc.).
- C. Political Activity by Department of Correction Employees. Section 5-266a of the Connecticut General Statutes and the regulations promulgated thereunder, as well as federal law, govern political activities of classified state employees. DAS General Letter No. 214-D sets out in detail the statutes, regulations, and policy concerning political activity of employees in the classified service.

In general, employees of the Department of Correction may not:

1. Engage in political activity while on duty or during time worked when the employee is being paid by the State of Connecticut.
2. Use their official authority or influence to (1) interfere with or affect the result of an election or a nomination for office, or (2) directly or indirectly coerce a state or local officer or employee to pay, lend or contribute anything of value to a party, committee, organization, agency or person for political purpose.
3. Campaign for a candidate in an election by making speeches, writing on behalf of the candidate or making contributions of time and money to political parties, committees, or other agencies while on duty or within any period during which you are expected to perform services for which the employee receives compensation from the State.

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4. Utilize state funds, supplies, vehicles or facilities to secure support for or oppose any candidate, party, or issue in a political partisan election.
 5. In seeking or holding municipal office or seeking state office, engage in political activity or in the performance of the duties of such office while on state duty or within any period during which the employee is expected to perform services for which the employee receives compensation from the State.
- D. Continued Responsibilities Subsequent to Employment with the Department of Correction. All employees of the Department of Correction are required to comply with Sections 1-84a and 1-84b of the Connecticut General Statutes, as well as the Regulations of Connecticut State Agencies, Sections 1-81-31 through 1-81-38, which restrict certain activities after leaving employment with the Department of Correction.
- E. Application of this Policy to All Department of Correction Employees. The provisions of this directive shall apply to all employees of the Department of Correction. These provisions are deemed paramount in relation to all duties and responsibilities performed in an official capacity for the Department, inclusive of duties performed as a representative of the Department of Correction on any board or commission. All current and future employees of the Department shall become familiar with this directive. It is strongly suggested that employees avoid situations that are ethically questionable or that may give the appearance of being ethically questionable. An employee who has a question or who is unsure about the provisions of this policy shall be instructed to contact the Department of Correction's Ethics Liaison Officer to review areas of concern or the employee may contact the State Ethics Commission at:
- State Ethics Commission,
20 Trinity Street, Suite 205,
Hartford, Connecticut 06106-1660
Telephone: (860) 566-4472
Fax: (860) 566-3806
Website: www.ethics.state.ct.us
5. Annual Review. Each year, as part of the Department's policy review process, the policy on ethical conduct shall be examined. When warranted, recommendations for changes shall be made by a committee convened by the Commissioner for that purpose. The Committee shall include line employees within the Department. The committee shall make its report to the Commissioner.
 6. Forms and Attachments. The following forms and attachments are applicable to this Administrative Directive and shall be utilized for their intended function:
 - A. CN 11301, Gift Acknowledgment and Return Form.

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7. Exceptions. Any exceptions to this Administrative Directive shall require prior written approval from the Commissioner.



Gift Acknowledgment and Return Form
Connecticut Department of Correction

CN 11301
3/17/05

SECTION 1 - UNIT INFORMATION

- Facility/Unit: _____
 Parole and Community Services Office: _____

SECTION 2 - ORGANIZATION INFORMATION

Organization sending gift(s): _____ Date gift(s) received: _____

Address of organization: _____

City/Town: _____

State: _____

Zip Code: _____

SECTION 3 - DESCRIPTION

Description of gift(s):

Quantity:

Date gift(s) returned:

_____	_____	_____
_____	_____	_____
_____	_____	_____

SECTION 4 - ACKNOWLEDGMENT

We are in receipt of the gift(s) listed in section 3 above. We are hereby returning the gift(s), in accordance with Administrative Directive 1.13, Code of Ethics which prohibits the acceptance of any item, service or promise which is directly and personally received from anyone conducting business with, seeking to conduct business with, or anyone who is directly regulated by the Department of Correction.

Please advise your employees of the Connecticut Department of Correction's policy regarding gifts and services.

Additional comments:

Signature: _____

Date: _____



Administrative Directives Revision Form

Connecticut Department of Correction

CN 1305/1
REV 3/22/04

Number: 1.13

Title: Code of Ethics

Summary of Revisions:

Administrative Directive 1.13, Code of Ethics is a new directive. Ethics language was transferred from the former Administrative Directive 1.1, Statement of Mission, Vision and Code of Ethics to Administrative Directive 1.13, Code of Ethics.

Revisions are: Modification Recision

Approved

Date 3/29/2005