



OFFICE OF STATE ETHICS

ETHICS POLICY

MISSION STATEMENT

The mission of the Office of State Ethics (OSE) is to uphold honesty, integrity, and accountability in state government through education, interpretation, and enforcement of the State of Connecticut Codes of Ethics (Codes).

INTRODUCTION

As the authority on the Codes, OSE employees and members of the Citizen's Ethics Advisory Board (Board) are held to the highest standards of ethical behavior. This Ethics Policy establishes additional requirements beyond those set forth in the Codes.

All OSE employees and Board members are responsible for understanding and adhering to the Codes, as well as to this Ethics Policy. Violations may result in disciplinary action, up to and including dismissal from state service or referral to the OSE Enforcement Division. This Ethics Policy does not replace the Codes but rather supplements them by emphasizing key principles and imposing additional obligations.

Employees and Board members with questions about the Codes or this Ethics Policy should consult their immediate supervisor (if applicable), the OSE Executive Director, or the OSE General Counsel. For guidance on specific ethics issues, such as gifts, outside employment, or post-state employment, individuals should contact the OSE General Counsel.

ETHICS POLICY

GENERAL CONDUCT

OSE employees and Board members shall adhere to all applicable provisions set forth in the Codes, including the code of ethics for such employees and Board members set forth in General Statutes § 1-80 (h), and avoid all appearances of impropriety in their work on behalf of the OSE and the Board, including those specifically enumerated in § 1-80 (h).

CONFLICTS OF INTEREST and OUTSIDE EMPLOYMENT

In addition to the provisions set forth in the Code of Ethics for Public Officials concerning conflicts of interest and outside employment, the following requirements shall apply:

- Employees and Board members may not seek or accept employment from an entity regulated by the OSE without prior written disclosure to, consultation with, and written approval from the OSE Executive Director or Board Chair, who may consult with the OSE General Counsel.
- Employees and Board members may not use their positions for the financial benefit of their outside employers. Any conflicts involving outside employers shall be disclosed in writing to the OSE Executive Director or Board Chair, and individuals must recuse themselves from related actions. If such recusals are frequent or cause excessive disruptions to OSE operations, the employee or Board member may be asked to choose between his or her state position and the outside work.
- Employees must complete an annual disclosure, on a form developed by the OSE, of any outside employment with their supervisor and the OSE Executive Director. Such disclosure shall be submitted every year, no later than July 1, and updated within 30 days whenever changes in outside employment occur.
- Employees and Board members must disclose in advance and in writing any intent to seek or receive compensated travel, lodging or incidental expenses from outside sources for work-related professional engagements. Approval is at the discretion of the OSE Executive Director.
- Any reimbursement or remuneration for work-related travel or professional engagements from a non-state source must be reported immediately in writing to the OSE Executive Director.

STATE EQUIPMENT

Employees and Board members shall not misuse or negligently handle state equipment, supplies, or other resources for non-state purposes.

CONFIDENTIAL INFORMATION

Employees and Board members shall maintain the confidentiality of information obtained through the OSE, as required by law. Any uncertainty about confidentiality should be immediately addressed with the employee's supervisor or the OSE General Counsel. New employees and Board members shall receive a briefing on confidentiality requirements and sign an acknowledgment of receipt upon commencement of employment or service.

STATEMENT OF FINANCIAL INTERESTS (SFI) REQUIREMENT

- All Board members, OSE managers, staff attorneys, and any other designated employees must file an annual SFI by May 1st. Late filings are subject to fines of up to \$10,000 and may result in disciplinary action.
- Designated individuals who join the OSE after March 31st must file an SFI within 30 days of assuming their position.
- Designated individuals who leave state service must, within 60 days of notification by the OSE, file an SFI covering the portion of the year they served in the position.

MANDATORY ETHICS TRAINING

All OSE employees and Board members are required to complete annual ethics training on the Code of Ethics for Public Officials provided by the OSE. The OSE's Ethics Liaison will send a reminder each calendar year concerning this annual ethics training requirement.

ACKNOWLEDGMENT OF RECEIPT

I have read and agree to comply with the OSE Ethics Policy.

Name: _____

Signature: _____

Date: _____