

STATE OF CONNECTICUT

STATE ETHICS COMMISSION

98-9

November 6, 1998

PRESS RELEASE

On June 23, 1998, Ethics Commission Attorney Rachel S. Rubin filed a Complaint against Ana-Maria Garcia, former member of the State Board of Trustees for the Hartford Public Schools. The Complaint alleged certain violations of the Code of Ethics relating to her acceptance of a position as Chief Administrative Officer for the Hartford schools. The Complaint also alleged a failure to make disclosures of two debts over \$10,000 on her statement of financial interests, as required by the Code.

On November 6, 1998, the Ethics Commission and Ms. Garcia settled this matter by entering into a Stipulation and Order. The Commission found that Ms. Garcia unintentionally violated certain provisions of the Code relating to the acceptance of the position, but dismissed the allegations relating to the failure to disclose the debts.

Copies of the Complaint and Stipulation and Order are attached.

FOR MORE INFORMATION CALL:

Alan S. Plofsky
Executive Director and General Counsel

or

Rachel S. Rubin
Managing Director & Commission Attorney

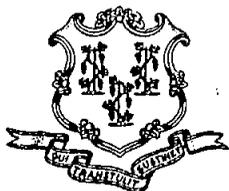
566-4472

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STATE OF CONNECTICUT

STATE ETHICS COMMISSION

DOCKET NUMBER 98-9) STATE ETHICS COMMISSION
IN THE MATTER OF A) 20 TRINITY STREET
COMPLAINT AGAINST) HARTFORD, CT 06106-1660
ANA-MARIA GARCIA) NOVEMBER 6, 1998

STIPULATION AND ORDER

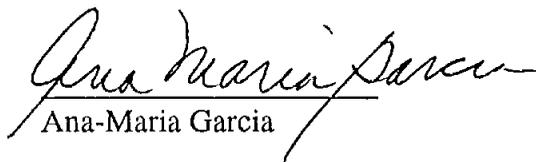
Pursuant to Connecticut General Statutes §4-177(c), the State Ethics Commission and the Respondent Ana-Maria Garcia agree to settle this matter in the manner described below:

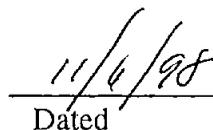
1. The Commission finds that the Respondent violated the Code of Ethics for Public Officials as alleged in paragraphs one through fifteen of the attached Complaint dated June 23, 1998. However, the Commission finds that the violations relating to the acceptance of her position with the Hartford School System were unintentional.
2. Based on the weight of the evidence provided, the Commission finds that the Respondent either did not owe or had a good faith belief that she did not owe more than \$10,000 to any one creditor during calendar years 1996 and 1997. Therefore, the Commission dismisses the allegations contained in paragraphs sixteen through twenty-two of the attached Complaint.
3. The Respondent acknowledges that she violated the Code of Ethics, as alleged, but states that any violation was unintentional. She further states that her acceptance of the position with the Hartford school system was done in conjunction with and at the request of the State Board of Trustees who counseled her that the arrangement was permissible, under the law.

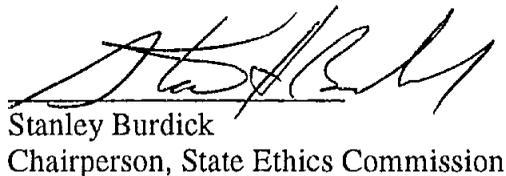
4. The Respondent waives any rights she may have under Conn. Gen. Stat. §§1-82, 1-82a, 1-87 and 1-80, including the right to a hearing or appeal in this case, and agrees with the Commission to an informal disposition of this matter as authorized by Conn. Gen. Stat. §4-177(c).

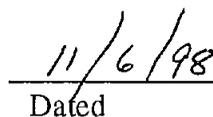
WHEREFORE, the State Ethics Commission enters, and Ana-Maria Garcia agrees to, the following orders in lieu of any other action it is authorized to take with regard to this Complaint:

The State Ethics Commission declines to fine the Respondent for the violations relating to her acceptance of the position with the Hartford School System in recognition of the Respondent's subsequent resignation as the Chief Administrative Officer.


Ana-Maria Garcia


Dated


Stanley Burdick
Chairperson, State Ethics Commission


Dated

CONNECTICUT STATE ETHICS COMMISSION
20 TRINITY STREET
HARTFORD, CONNECTICUT 06106-1660

COMPLAINT

The State Ethics Commission issues a complaint alleging a violation of:

 X The Code of Ethics for Public Officials and State
Employees, Chapter 10, Part I, General Statutes

 The Code of Ethics for Lobbyists, Chapter 10, Part II,
General Statutes

Time and date matters complained of occurred:

On or about May 19, 1998

Place violation occurred:

Hartford, CT

Persons involved:

Ana-Maria Garcia

Witnesses:

To be disclosed prior to any hearing on this matter

Circumstances which indicate that the Code of Ethics designated above was violated are as follows (a short, plain statement alleging a violation of Chapter 10, General Statutes):

See attached

(over)

000566

Rachel S. Klein

Signature

6-23-98

Date

Complainant's Name and Address:

State Ethics Commission
20 Trinity Street
Hartford, CT 06106-1660

Complainant's Telephone Number:

(860) 566-4472

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STATE OF CONNECTICUT
STATE ETHICS COMMISSION

CONFIDENTIAL

DOCKET NUMBER 98-9) STATE ETHICS COMMISSION
IN THE MATTER OF A) 20 TRINITY STREET
COMPLAINT AGAINST) HARTFORD, CT 06106-1660
ANA-MARIA GARCIA) JUNE 23, 1998

COMPLAINT

1. On July 1, 1997, a State Board of Trustees for the Hartford Public Schools was established.
2. The Respondent was appointed to serve on the State Board of Trustees.
3. As a member of the State Board of Trustees, the Respondent is a public official, for purposes of the Code of Ethics for Public Officials, Chapter 10, Part I, Connecticut General Statutes.
4. Pursuant to Conn. Gen. Stat. §1-84(i), a public official may not enter into a contract with the state, valued at one hundred dollars or more, with exceptions not pertinent, unless it is awarded through an open and public process.
5. On or about May 19, 1998, the Board of Trustees accepted the resignation of the Hartford Superintendent of Schools.
6. Sometime prior to the resignation described in paragraph five above, the Respondent and her fellow members of the Board of Trustees reached an agreement whereupon the acceptance of this resignation, the Respondent would accept a position as Chief Administrative Officer for the Hartford schools.
7. An open and public process was not used prior to the offer of employment to the Respondent.
8. The Respondent was offered and accepted the position as Chief Administrative Officer for the Hartford schools in violation of Conn. Gen. Stat. §1-84(i).
9. Prior to her resignation as a trustee, the Respondent took part in discussions regarding the removal of the former superintendent of the Hartford Public Schools.
10. Prior to her resignation as a trustee, the Respondent entered into discussions with other fellow members of the Board of Trustees regarding the possibility of accepting a position with the Hartford Public Schools once the former superintendent left her position.

11. Pursuant to Conn. Gen. Stat. §1-84(c), a public official may not use her state position for personal financial gain.
12. The conduct described in paragraphs nine and ten above is a violation of Conn. Gen. Stat. §1-84(c).
13. Pursuant to Conn. Gen. Stat. §1-84b(b), for one year after leaving state service, a former public official may not represent anyone for compensation, other than the state, before her former state board.
14. Soon after the Respondent resigned as a trustee, the Respondent represented herself for compensation before the Board of Trustees when she entered into negotiations regarding her salary as Chief Administrative Officer for the Hartford Schools.
15. The conduct described in paragraph fourteen above is a violation of Conn. Gen. Stat. §1-84b(b).
16. Pursuant to Conn. Gen. Stat. §1-83, the Respondent was required to file a Statement of Financial Interests for calendar years 1996 and 1997 with the Commission.
17. The Statement described in paragraph sixteen above must include the names and addresses of creditors to whom the individual owed debts of more than ten thousand dollars.
18. During calendar years 1996 and 1997, the IRS had a tax lien in excess of \$10,000.00 filed against the Respondent.
19. The Respondent failed to list the IRS as a creditor on the Statements of Financial Interests.
20. During calendar years 1996 and 1997, the Respondent owed in excess of \$10,000 to the New Jersey Higher Education Assistance Authority (NJHEAA) for various student loans.
21. The Respondent failed to list NJHEAA as a creditor on the Statements of Financial Interests.
22. The failures to disclose, as described in paragraphs seventeen through twenty-one above, are each violations of Conn. Gen. Stat. §1-83.