

**CONNECTICUT DEPARTMENT OF PUBLIC SAFETY
ETHICAL CONDUCT POLICY**

STATEMENT OF PURPOSE

This policy is adopted pursuant to Connecticut General Statutes Section 1-83(a)(2), which mandates that each state agency develop an ethics statement relating to its operations. Ethical conduct is of critical importance to our relationship with the public, other agencies and persons regulated by or doing business with the Department of Public Safety ("DPS"). In protecting and serving the public or representing the State of Connecticut in its business dealings with others, employees of the DPS hold positions of trust and integrity that require adherence to the highest ethical standards. Therefore, it is important that all DPS employees understand that DPS standards of ethical conduct may be higher or stricter than what they may have been accustomed to in other employment contexts.

APPLICATION

The provisions of this policy apply to all employees of the Department of Public Safety. All current and future DPS employees shall be given a copy of this policy. It will be the responsibility of each employee to be familiar with the policy and comply with its provisions. This policy is intended as a guide to ethical conduct for DPS employees. It is not intended to supersede the State Ethics Code, other applicable statutory provisions or Executive Orders.

All employees are expected to avoid situations that violate the provisions of this policy or the State Ethics Code or give the appearance of impropriety. Any employee who needs guidance on the application of this policy or a provision of the State Ethics Code should contact the agency Ethics Liaison Officer, Attorney Dawn Hellier at (860) 685-8000, or the Office of State Ethics at (860) 263-2400.

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PROHIBITED ACTIVITIES

A. Outside Employment, Business Interests, Confidentiality, Use of Official Position

1. No DPS employee may accept outside employment that is in substantial conflict with the proper discharge of his or her official duties or employment, that will impair independence of judgment as to official duties, or that will require or induce disclosure of confidential information gained in state service. All employees are required to submit a Request to Engage in Outside Employment form (DPS-259-C) and receive authorization from the Commissioner or Deputy Commissioner prior to accepting outside employment or engaging in any private business operation.

Employees are expected to comply with all applicable Administrative and Operations Manual provisions concerning outside employment.

2. No DPS employee may allow any personal business or obligation to interfere with the performance of his or her duties.
3. No DPS employee may participate in a process whereby a state contract is or may be awarded to a vendor with whom the employee has a business or family relationship, or use his or her position or influence to obtain employment for a member of his or her family, or principals or employees of a business with which he or she is associated.

The employee must withdraw from the process as soon as the conflict is known or discovered.

No DPS employee, directly or indirectly, may use his official authority to coerce, command, or require another state employee to improperly obtain an appointment for any person to a position within state service or to act in violation of the state personnel rules and regulations within respect to appointment and promotion.

Family members or others having special relationships with current employees are not prohibited from seeking employment with DPS, but influence may not be exerted to give such persons an advantage. DPS employees also may not supervise relatives. Employees should be aware that signing personnel forms, performance appraisals, vouchers, reimbursement forms and the like may constitute a violation of this policy.

4. No DPS employee or a member of his or her immediate family or a business with which (s)he is associated may enter into a contract with the state valued at \$100.00 or more, unless the contract has been awarded through an *open and public process*. This provision does not apply to contracts of employment as a state employee, contracts with public institutions of higher education to support a collaboration with such institution to develop and commercialize any invention or discovery, or contracts made by court appointment.
5. No present or former DPS employee may, for the financial gain of him or herself, his or her spouse, child, child's spouse, parent, brother, sister or a business with which he or she is associated, disclose or use confidential information. State employees may not take advantage of insider information for financial gain.

6. No DPS employee may, for the financial gain of him or herself, his or her spouse, child, child's spouse, parent, brother, sister or a business with which he or she is associated, use his or her public office or position.
7. No DPS employee may use or distribute state information or use state equipment or materials for other than state business purposes unless specifically authorized under the applicable collective bargaining agreement or by the A & O Manual.

B. Gifts and Gratuities

1. No DPS employee shall, either individually or as a member of a group, directly or indirectly solicit or accept any gift, gratuity or anything of value from any person or organization which is currently, has had previously, or may have a relationship with the agency, from a registered lobbyist or a lobbyist's representative or from a contractor who is prequalified by the Connecticut Department of Administrative Services.

By statute, "anything of value" includes, but is not limited to, a gift, loan, political contribution, reward or promise of future employment. Gift is specifically defined in Connecticut General Statutes Section 1-79(e). Among the most common exclusions from the definition of gift are items valued at less than \$10.00 (not to exceed an aggregate of \$50.00 per year) and food/beverage valued at less than \$50.00 per person per year where the donor is in attendance at the occasion where the food/beverage is being consumed.

Connecticut General Statutes Section 29-9 prohibits any state police officer from, directly or indirectly, receiving any reward, gift or gratuity for the purpose of influencing his or her behavior in office. An employee who violates this statute may be subject to a fine of not more than one hundred dollars or imprisonment not more than six months or both and/or administrative sanctions, up to and including termination.

2. No DPS public official or employee shall knowingly accept, directly or indirectly, any gift costing one hundred dollars or more from a public official or state employee who is his or her subordinate or supervisor nor shall any DPS public official or employee knowingly give a gift costing one hundred dollars or more to a DPS public official or employee who is his or her subordinate or supervisor.
3. No DPS employee may accept any fee or honorarium in return for a speech or appearance made or article written in his or her official capacity.

If a DPS employee in his or her official capacity is actively participating in an event, reimbursement of certain necessary expenses (e.g. reasonable travel, lodging) may be accepted, but must be reported to the Office of State Ethics within thirty (30) days of receiving payment or reimbursement for lodging or out-of-state travel, or both on Form ETH-NE which may be downloaded from the Office of State Ethics website at www.ct.gov/ethics. If a state employee is the principal speaker at an in-state event, he or she may accept admission to the event or food or beverage provided by the sponsor of the event without the necessity of reporting. Employees also do not need to file a report if the expenses were provided by the federal government or another state government. If an employee does not file such report within the thirty (30) day period, either intentionally or due to gross negligence, the employee shall return the payment or reimbursement and may be subject to a civil penalty of up to \$10,000.00.

4. Goods or services which are provided to the State to facilitate state action or functions for use on state property may be permitted provided the acceptance of such goods or services has been pre-approved by the Commissioner or his designee.
5. No DPS employee may accept any discount unless it is offered to the public at large.

C. On-Site Travel Prohibitions

1. No DPS employee shall travel with a registered lobbyist, contractor or person doing business with or seeking to do business with the DPS when the purpose of such travel is to conduct an on-site visit to assess a potential project whether in state or out of state. This prohibition applies when interested parties are or may be interested in bidding on such project and they may receive information that is unavailable to similarly situated parties. This prohibition does not apply once a contract has been awarded and such travel is necessary to the implementation of the contract or to conduct an inspection or ensure compliance of an already existing contractual agreement. However, such travel and its purpose must have been specified as part of a procurement and the resulting contract. Prior travel authorization is still required even if there is no cost to the state. This prohibition is not intended to prohibit agency personnel from visiting a potential vendor when an inspection is necessary to assess a particular vendor's product or as part of an agency's required due diligence prior the contract award.

D. Political Activities

1. A DPS employee seeking to or holding political office shall notify the Commissioner in writing through his or her supervisor or chain of command.

Such employee shall comply with the provisions of Connecticut General Statutes section 5-266a, as well as Sections 4.9.2 and 14.2.4 of the A & O Manual.

2. A DPS employee may not engage in partisan political activities while on state duty time, nor shall state materials, equipment, vehicles or facilities be used for the purpose of influencing a political election.

Some employees may be covered by federal law (Hatch Act), which covers employees whose principal employment is financed in whole or in part by federal funds. The federal requirements allow participation in political activities, but prohibit the use of the employee's official position to contribute to political activities or to interfere with the result of an election. Because each situation may be different, guidance should be obtained from the Legal Affairs Unit.

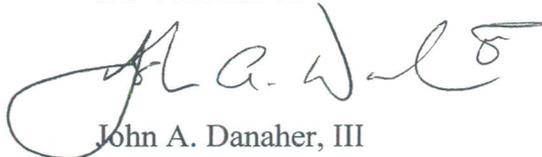
E. Revolving Door Restrictions

1. All DPS employees are expected to comply with the revolving door provisions of the state ethics code after leaving state service. These provisions contain restrictions that prohibit:
 - a. disclosure of confidential information gained in state service for financial gain for him or herself or another person;
 - b. representing anyone for compensation before DPS for a period of one year after leaving state service
 - c. representing anyone in a matter that such DPS employee was involved in personally and substantially during service with DPS;
 - d. employment with a contractor for a period of one year after leaving state service if the DPS employee participated in, or supervised, the negotiation or award of a contract valued at \$50,000.00 or more and the contract was signed within a year before the DPS employee leaves state service.

DPS employees contemplating leaving state service should take these provisions into consideration while engaging in any future employment search and should contact the Office of State Ethics for further guidance.

BY ORDER OF:

DATED:



8/28/08

John A. Danaher, III
COMMISSIONER
Department of Public Safety

STATUTORY AND OTHER REFERENCES:

State Statutes

Connecticut General Statutes Chapter 10 (State Ethics Code) and the regulations adopted thereunder

Connecticut General Statutes Secs. 5-266a to 5-268, inclusive

Connecticut General Statutes Section 29-9

Executive Orders and Executive Policy

Executive Order No. 1 issued by Governor M. Jodi Rell

August 3, 2004 On-Site Travel Prohibition

October 19, 2005 Elections Policy

DPS Administrative & Operations Manual:

Sec. 4.9.1

Sec. 4.9.2

Sec. 14.2.2.b

Sec. 14.2.4

Office of State Ethics

A Guide to the Code of Ethics for Public Officials and State Employees

08/27/08