# STATE OF CONNECTICUT
## OFFICE OF POLICY AND MANAGEMENT

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MISSION STATEMENT AND POLICY OF ETHICAL CONDUCT

**OPM Mission Statement**

The employees of the Office of Policy and Management (OPM) provide information and analysis that the Governor needs in formulating public policy goals for the State and assist State agencies and municipalities in implementing policy decisions on behalf of the people of Connecticut.

**OPM Policy of Ethical Conduct**

Employees of OPM represent the State of Connecticut and have positions of trust and responsibility that require them to observe the highest ethical standards. Strict compliance with the provisions of the following laws, regulations and policies is an essential aspect of employment in OPM:

- Connecticut General Statutes Sections 1-79 to 1-89a, inclusive
- Code of Ethics for Public Officials, as amended, available at http://www.ct.gov/ethics/lib/ethics/guides/2012/public_officials_and_state_employees_guide_december_2012_rev.pdf.
- Statutes, regulations, and policy concerning political activity of employees in the classified service which are outlined in detail in the Department of Administrative Services' General Letter No. 214-D, available at http://www.das.state.ct.us/HR/om/GL214D.pdf.

Copies of these materials can be obtained from OPM's Ethics Liaison, Gareth Bye.

The ethical rules for state employees are contained in Connecticut General Statutes Sections 1-79 through 1-90. Basically, these sections contain provisions that are intended to prevent a state employee from using his or her public position or authority for personal financial benefit.

The Code of Ethics for Public Officials, which has been prepared by the Office of State Ethics, summarizes most of these rules. Again, that guide may be found at http://www.ct.gov/ethics/lib/ethics/guides/2012/public_officials_and_state_employees_guide_december_2012_rev.pdf.

Interpretations of the Code are the responsibility of the Office of State Ethics and the courts.

Each OPM employee should become familiar with all of the provisions of the laws, regulations and policies regarding his or her ethical obligations as an employee of OPM. All employees must attend agency trainings that are coordinated upon hire for new employees and annually for existing staff. A brief summary, which is neither intended to be, nor should be relied upon as being, a substitute for such laws, regulations and policies, is set forth below.

ETHICS CODE PROHIBITIONS -- GENERALLY

In general, Connecticut General Statutes Section 1-84 prohibits each OPM employee from doing the following:

1. accepting outside employment, which will impair independence of judgment as to the employee's official duties or require or induce the employee to disclose confidential information gained while employed at OPM.
2. using his or her public position, or confidential information gained while employed at OPM, for his or her own financial benefit or that of any business with which the employee is associated or that of the employee's (a) spouse, (b) children, (c) spouses of such children, (d) parents, (e) brothers, or (f) sisters.
3. soliciting or accepting anything of value based on an understanding that one's official action will be or had been influenced thereby.
4. entering into contracts with the State valued at $100 or more, unless the contract has been awarded through an open and public process or pursuant to a court appointment.
5. accepting any gift or gifts from one known to be a registered lobbyist or lobbyist's representative. Lobbyist information is available on the Office of State Ethics website at https://www.oseapps.ct.gov/NewLobbyist/security/loginhome.aspx.
6. accepting any gift or gifts from any person (a) doing business with, or seeking to do business with, OPM, or (b) who is directly regulated by OPM, or (c) is prequalified under Connecticut General Statutes Section 4a-100.
7. accepting any fee or honorarium given in return for a speech or appearance made or article written in one's official capacity. Employees are permitted, however, to accept necessary expenses incident to any such activity. Necessary expenses are limited to necessary travel expenses, lodging for the nights before, of and after the appearance, speech or event, meals and any related conference or seminar registration fees. Such expenses do not include the payment for expenses for one's family or other guests. Employees must file a report, form ETH-NE, disclosing such transaction with the Office of State Ethics within thirty (30) days of being paid or reimbursed. The report should be signed by the recipient under penalty of false statement. The form is available on the Office of State Ethics website at https://www.oseapps.ct.gov/NewLobbyist/NecessaryExpenses/NEHome.aspx. Employees need not file a report when the expenses were provided by the federal government or another state government.
8. representing another for compensation, or being a member of a business, which represents a client for compensation, before various state agencies.
9. knowingly interfering with, influencing, directing or soliciting lobbying contracts or relationships for or on behalf of any person.
10. accepting, directly or indirectly (including, but not limited to, by donation to an immediate family member), any gift costing $100 or more from a supervisor.
11. accepting, directly or indirectly (including, but not limited to, by donation to an immediate family member), any gift costing $100 or more from a subordinate.
12. supervisors and/or subordinates from pooling their money to give a collective or group gift valued in excess of $100 or more.
13. knowingly giving any gift in violation of the prohibitions outlined in Items 10, 11 and 12 above. The exception to the gift limitation in these circumstances is for a "major life event" defined as wedding, birth or adoption of a child, funeral, retirement or ceremony commemorating induction into religious adulthood.

ETHICS CODE PROHIBITIONS – PENALTIES

Both civil and criminal penalties can be imposed for ethics code violations. Civil penalties of not more than $10,000 can be imposed for each violation. Criminal penalties can be imposed for intentional violations, which, in the case where a person either derives a financial benefit of at least $1,000 or has committed multiple violations, can constitute a Class D Felony. Specific provisions pertaining to civil and criminal penalties may be found at Connecticut General Statutes Sections 1-88 and 1-89.

SUBSTANTIAL AND POTENTIAL CONFLICTS

Connecticut General Statutes Sections 1-85 and 1-86 of the Ethics Code provide direction when an employee is dealing with a substantial or a potential conflict.

Pursuant to Connecticut General Statutes Section 1-85, an employee may not take any official action with regard to a matter if he or she has a substantial conflict of interest with respect to such matter. An employee is deemed to have a substantial conflict of interest if the employee has reason to believe or expect that he or she, or his or her spouse, dependent child or a business with which the employee is associated will derive a direct monetary gain or loss by reason of the employee's official activity. Contrarily, an employee will not be deemed to have a substantial conflict, and thus is not barred from acting, with respect to a matter, if the benefit or detriment that may accrue to the employee or others identified above occurs by reason of the employee's or any of such other's membership in a profession, occupation or other group so long as the financial interest affected is no greater than that shared by the other members of said profession, occupation, or group.

Connecticut General Statutes Section 1-86 provides other guidance with respect to how an employee should act not only if he or she has a substantial conflict of interest as defined in Connecticut General Statutes Section 1-85, but also a potential conflict (which includes conflicts that may arise by reason of an employee's spouse, or any of the employee's parents, brothers, sisters, children or spouses of children or any business with which an employee is associated). Employees should consult that Section and OPM's Ethics Liaison, Gareth Bye, or an attorney in the Legal Unit if they believe they have any potential or substantial conflict of interest with respect to any matter before taking any official action with regard to the same.

AFTER LEAVING OPM

All employees of OPM are required to comply with Connecticut General Statutes Sections 1-84a and 1-84b, which restricts certain activities after leaving employment with OPM.

POLITICAL ACTIVITY BY OPM EMPLOYEES

Connecticut General Statutes Section 5-266a, and the regulations promulgated thereunder as well as federal law, govern political activities of classified state employees. Department of Administrative Services' General Letter No. 214-D sets out in detail the statutes, regulations, and policy concerning political activity of employees in the classified service. You can access the letter at http://www.das.state.ct.us/HR/om/GL214D.pdf.

In general, these provisions provide that no employee of OPM shall:

1. engage in political activity while on duty or within any period of time during which such employee is expected to be performing services for which he or she is being paid by the State of Connecticut.
2. use his or her official authority or influence for the purpose of (a) interfering with or affecting the result of an election or a nomination for office, or (b) directly or indirectly coercing, attempting to coerce, commanding or advising 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 (whether, for example, by making speeches, writing on behalf of the candidate or soliciting votes in support of or in opposition to a candidate and/or making contributions of time and money to political parties, committees, or other agencies) while on duty or within any period during which such employee is expected to perform services for which he or she receives compensation from the State.
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. engage in any political activity in seeking or holding municipal office or seeking state office while on duty or within any period of time during which such

employee is expected to perform services for which he receives compensation from the state.

6. perform any of the duties of any such office while on state duty or within any period during which such employee is expected to perform services for which he or she receives compensation from the State.

The Federal Hatch Act prohibits certain political activities. OPM employees whose salaries are funded in whole or part with a federal grant should contact OPM's Ethics Liaison, Gareth Bye, or an attorney in the Legal Unit if they are considering running for local or state office.

The provisions of this policy apply to all of the employees of OPM in their duties and responsibilities to the agency, as well as in their duties as a designee from OPM on any board or commission. All current and future employees of OPM shall be supplied with a copy of this policy, and it shall be the responsibility of each employee to be familiar with this policy as well as the provisions of Connecticut General Statutes Sections 1-79 to 1-89a, inclusive, as amended, and Department of Administrative Services' General Letter 214D, and to comply with them.

Employees are strongly suggested to avoid situations which are ethically questionable or which may give the appearance of being ethically questionable. Each employee who has a question or is unsure about the provisions of this policy is instructed to contact OPM's Ethics Liaison, Gareth Bye, or an attorney in the Legal Unit to review his or her areas of concern.

Benjamin Barnes
Secretary

1/8/14
Date

Karen K. Buffkin
Deputy Secretary

1/8/14
Date