

NECESSARY EXPENSES

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- May be received by public officials or state employees **only** if the official or employee, in his/her official capacity, is actively participating in an event (giving a speech or presentation, running a workshop, etc.).
- Necessary expenses can include:
 - Travel (coach);
 - Lodging (standard cost of room for the nights before, of, and immediately following the event);
 - Meals; and
 - Related conference expenses.
- Entertainment costs (tickets to sporting events, golf outings, night clubs, etc.) are **not** necessary expenses.
- Necessary expense payments **do not** include payment of expenses for family members or other guests.
- Within 30 days of receiving payment or reimbursement of necessary expenses for **lodging or out-of-state travel**, state employees must file an ETH-NE form with the Office of State Ethics (OSE).

FEES/HONORARIUMS

- Public officials and state employees may **not** accept fees or honorariums for an article, appearance, speech or participation at an event in their official capacity.
- Fees or honorariums for such activities, if offered based solely on expertise and without any regard to official capacity, may be acceptable. Contact the OSE before accepting any such payment.

QUESTIONS? CONTACT US:

Agency Address: Connecticut Office of State Ethics
18-20 Trinity Street
Suite 205
Hartford, CT 06106

Telephone: 860-263-2400
Facsimile: 860-263-2402
Website: www.ct.gov/ethics

NECESSARY EXPENSES REPORTING INSTRUCTIONS

Step 1 Log-In

Click on link below to access the Necessary Expense Form ETH-NE

<https://www.oseapps.ct.gov/NewLobbyist/NecessaryExpenses/NEHome.aspx>

Office of State Ethics

FORM ETH-NE – Necessary Expenses

REPORT OF NECESSARY EXPENSES RECEIVED BY A PUBLIC OFFICIAL OR STATE EMPLOYEE
(SEE Conn. Gen. Stat. §1-84(k))

WHAT ARE “NECESSARY EXPENSES” - Necessary expenses are a public official’s or state employee’s expenses for an article, appearance or speech or for participation at an event, in his or her official capacity, and 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. (See Conn. Gen. Stat. §1-79(q))

WHO FILES - Any public official or state employee who receives payment or reimbursement of necessary expenses for LODGING and/or OUT-OF-STATE TRAVEL, unless the payment or reimbursement was provided by the state of Connecticut, another state government, or the federal government.

WHEN TO FILE - Within 30 days of receiving a reportable payment or reimbursement.

IMPORTANT! If, intentionally or due to gross negligence, a public official or state employee does not timely file a required report of the payment or reimbursement of necessary expenses, he or she shall be required to return the payment or reimbursement, and may be subject to a civil penalty of up to \$10,000.

Necessary Expenses

Enter your email address: *

Enter your **email address** and then click the Submit button to the left. A disclaimer will pop-up. Click OK, after carefully reading.

Step 2 Create New ETH-NE or Amend Filing

Office of State Ethics

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Necessary Expenses

Enter your email address: *

Email: nancy.nicolescu@ct.gov

No records found.

You can create a new ETH-NE filing by clicking on the button to the left, or if you have already filed other ETH-NE filings, these will be displayed under your email information. You can Amend or View them by clicking your choice under Actions.

Create A New ETH-NE

The screenshot shows the 'Office of State Ethics' web form for 'FORM ETH-NE - Necessary Expenses'. The form is titled 'Your Information' and contains several fields for user input. The fields are: Last Name (Morgan), First Name (Ann), Email Address (ann.morgan@ct.gov), Search Title (dropdown), Title (text), Search Agency (dropdown), Agency (text), Name of Person or Entity Paying or Reimbursing Expenses (text), Date of Receipt of Payment or Reimbursement (calendar icon), Description of Event (text area), Location/Address of Event (text), City (text), State (CONNECTICUT dropdown), Country (text), Date of Event (From and To date pickers), and Description of Official Activity (dropdown). At the bottom of the form are 'Continue', 'Clear', and 'Cancel' buttons.

Enter your **Last Name, First Name**. Your **email address** will pre-populate.

Search Title:

You need to enter 3 or more characters of your title for this field. A list will display and choose your title from the drop down box. If your title is not listed, enter it.

Example: You enter “ana” only titles that have an “ana” in their title will appear. The more letters you enter the less choices you have.

Search Agency:

You need to enter 3 or more characters of your agency for this field. A list will display and just choose your agency from the drop down box. If your agency is not listed please contact the OSE.

Example: Enter “eth,” and Office of State Ethics will display.

Enter Name of Person or Entity Paying or Reimbursing Expenses

Enter Date of Receipt of Payment or Reimbursement:

Click the calendar icon to the left, which will display a calendar to select date. The date shall not be later than thirty days, after the event. The system will not accept an advanced date.

Enter Description of Event

Enter Location/Address of Event, City, State, Country

Date of Event: To and From

You can click the calendar to the left, which will display a calendar to click your date. The date shall not be later than thirty days, **thereafter** the event. The system will not accept an advanced date.

Step 3

Enter Description of Official Activity

Article, Speech, Appearance at an event, Participation at an event. Other than Article, you will need to describe your Activity. When complete, click continue.

Office of State Ethics

FORM ETH-NE – Necessary Expenses

Welcome! Ann Morgan

Lodging and/or Out-of-State Travel Expense(s) for Which Payment or Reimbursement was Received

Description: *

Amount: * \$

If reporting reimbursement of prepaid expenses, please check here:

Check here if amount is unknown because payment was made directly by the person or entity providing such expense:

Add Expenses

Description	Prepaid	Amount	Actions
Meals	No	\$25.00	
Registration Fees	Yes	\$10.00	
Airfare	No	\$55.00	
		Total: \$90.00	

I hereby certify and state, under penalties of false statement that all of the information set forth on this Necessary Expenses Form (ETH-NE) is true, accurate, and complete. I have read and agree to the above certification.

Name/Signature of Public Official or State Employee: Ann Morgan

Date: 9/14/2009

File to State **Back** **Clear** **Cancel**

Description:

In the drop down box choose your description:

- Airfare
- Train/Bus
- Car Rental
- Mileage Reimbursement
- Lodging
- Meals
- Registration Fees
- Other: If other is chosen you will need to provide a description.

Amount

If reporting reimbursement of prepaid expenses, please check here:

Check if amount is unknown because payment was made directly by the person or entity providing such expense.

Since there can be multiple entries for this section, **you must** select the **Add Expense** button to the left to add this entry to the filing.

Certify and File: Certify the filing and click **File to State**, this will notify the OSE of your filing and you will receive an email with an attached copy of your filing.