

Necessary Expenses

A Guide for Public Officials and State Employees

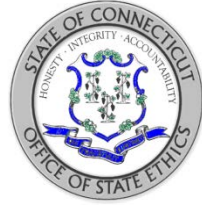


Office of State Ethics

Carol Carson, Executive Director

NECESSARY EXPENSES

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

Business Hours: 8:00 am to 5:00 pm

Visitors must enter the building through the door next to the Bushnell Memorial Theater.

Specific E-mail Contacts: For the timeliest responses, please be sure to direct your questions to the appropriate e-mail address; for example, with a question such as, "Can I accept this outside position with a vendor?" please be sure to send your query to ethics.code@ct.gov

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|--|--|
| ➤ Legal Advice Regarding Code of Ethics | ethics.code@ct.gov |
| ➤ Lobbyist Filing/Reporting Questions | lobbyist.ose@ct.gov |
| ➤ Public Official Filing/Reporting Questions | sfi.ose@ct.gov |
| ➤ Enforcement/Filing a Complaint | ethics.enforcement@ct.gov |
| ➤ All Other Inquiries | ose@ct.gov |

[Staff Phone Number Listing](#)

NECESSARY EXPENSES

General Statutes [§ 1-84 \(k\)](#) – the “necessary expenses” provision – prohibits a state employee or public official from accepting a fee or honorarium for participating at an event *in his or her official capacity*.

However, a state employee or public official may receive payment or reimbursement for “necessary expenses” if – in his or her official capacity – the employee or official actively participates in the event (for example, gives a speech or runs a workshop).

“Necessary expenses” are not considered gifts and may include the cost of:

- Travel (coach);
- Lodging (standard room for the night before, of, and immediately following the event);
- Meals (non-lavish); and
- Conference or seminar registration fees.

“Necessary expenses” **do not** include the cost of entertainment (tickets to sporting events, golf outings, night clubs, etc.) or payments of expenses for family members or other guests.

Only a sponsor of the event to which you are participating may pay for or reimburse your “necessary expenses.” [Advisory Opinion No. 2012-9](#).

Within 30 days of receiving payment or reimbursement of “necessary expenses” for **lodging and/or out-of-state travel**, the employee or official must file an ETH-NE form with the OSE. General Statutes [§ 1-84 \(k\)](#).

Example:

Question: A restricted donor is hosting an out-of-state conference and would like a legislator to come and give a speech in his official capacity. The restricted donor has offered to pay the legislator’s travel and lodging expenses, to waive his conference registration fee, and to give him a \$500 honorarium. Permissible?

Answer: The legislator may not accept the \$500 honorarium (because he is participating in his official capacity), but may accept payment or reimbursement for “necessary expenses,” which include coach-class travel, standard lodging for the nights before, of and after the speech, and waiver of the conference registration fee.

NECESSARY EXPENSES REPORTING INSTRUCTIONS

The following screen shots and explanations will guide you on how to file the ETH-NE form.

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>

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

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You can create a new ETH-NE filing by clicking on “Create New ETH-NE” button to the right, 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 'FORM ETH-NE - Necessary Expenses' web form. At the top left is the 'Ct.gov STATE OF CONNECTICUT' logo. The title 'Office of State Ethics' is centered. On the right, there is a 'Welcome! Nancy Nicolescu' message and an 'OSE Home' link. Below the title, a warning states: '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.' The form is titled 'Your Information' and contains the following fields: Last Name: * (text input), First Name: * (text input), Email Address: * (text input), Search Title: (text input), Title: * (text input), Search Agency: (text input), Agency: * (text input), Description of Event: * (text area), Location/Address of Event: * (text input), City: * (text input), State: * (dropdown menu, currently showing 'CONNECTICUT'), Country: (text input), Date of Event: * (date range input with 'From:' and 'To:' fields), Description of Official Activity: * (dropdown menu, currently showing '--Select Official Activity--', 'Speaker', 'Panelist', 'Moderator', 'Presenter', 'Article', 'Other'), Describe: (e.g. Group Moderator, Facilitator, Panelist, Subject of Article, etc.) * (text area), Name of Person or Entity Paying or Reimbursing Expenses: * (text input), and Date of Receipt of Payment or Reimbursement: * (date input). At the bottom right of the form are three buttons: 'Continue', 'Clear', and 'Cancel'.

1. Enter your **Last Name, First Name**. Your **email address** will pre-populate.
2. **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.
3. **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.
4. **Enter Description of Event**
5. **Enter Location/Address of Event, City, State, Country**

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- 6. Date of Event: To and From**
You can click the calendar to the left, which will display a calendar. Select your date(s).
- 7. Enter Description of Official Activity**
Select from the drop down one of the following: Speaker, Panelist, Moderator, Presenter, or Article.
- 8. Enter Name of Person or Entity Paying or Reimbursing Expenses**
- 9. Enter Date of Payment Made or Receipt of Reimbursement:**
Click the calendar icon to the left, which will display a calendar to select date. The system will not accept an advanced date.

Note: If payment was made directly by the person or entity providing such expense you may enter the date of the event as the date of payment.

Note:

General Statutes [§ 1-84 \(k\)](#) requires you to file ETH-NE not later than 30 days after the payment or reimbursement.

When complete, click continue.

Step 3: Payment or Reimbursement

Office of State Ethics

FORM ETH-NE – Necessary Expenses

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:

Description	Prepaid	Amount	Actions
Meals	Yes	\$49.99	<input type="button" value="edit"/> <input type="button" value="delete"/>
RegistrationFees	No	\$15.00	<input type="button" value="edit"/> <input type="button" value="delete"/>
		Total: \$64.99	

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: Nancy Nicolescu

Date: 3/21/2016

1. 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.

2. Amount – Enter amount of each expense

Indicate by checking the appropriate box if:

- a. Reporting reimbursement of prepaid expenses; or

- b. The 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.

3. 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.