

## Advisory Opinion Update

On January 30, 2014 the *Citizen's Ethics Advisory Board* met and decided on the opinion, summarized below. Click on the AO number to read the full text of the opinion.

**ADVISORY OPINION NO. 2014-1, Application of the Code of Ethics Contracting with the State** The Citizen's Ethics Advisory Board concluded that General Statutes § 1-101nn (b) does not prohibit a firm from serving as a subcontractor in the construction phase of a State project, even though it served as a sub-consultant in the design phase of the same project, given that it did not contract with the State in the design phase, and assuming that it is not "associated" with the firm that did, in fact, contract with the State in that phase.

You may search Advisory Opinions by using the search engine located at the top right side of our website: [www.ct.gov/ethics](http://www.ct.gov/ethics).

## Winter Workshop: What does an ethical agency look like?

The Office of State Ethics held its Winter Workshop on Thursday, January 23, 2014. I want to thank all of the Ethics Liaisons that attended. Attached please find the PowerPoint from the training.

During our workshop the following question was posed, and I promised to provide the answer in the OSE newsletter.

### Question:

Which Executive Order contains the requirement that we hand out the Ethics Policy to applicants at their interviews? Are we required to hand out the letter from the Governor?

### Answer:

[Executive Order No. 1](#), issued by former Governor Rell, contains the requirement.

### Additional Information:

#### May 19, 2011 Communication sent from Governor Malloy's Office to Agency Heads

As you know, before accepting employment with the state, individuals must be made aware of the Code of Ethics for Public Officials and State Employees, so that they will understand their general ethical duties as a state employee or public official. Therefore, during the interview process, each person must be given a summary of the State Code of Ethics and an ethics statement by the hiring agency. Furthermore, each new employee must also sign a statement acknowledging receipt of such summary, and agree to comply with the requirements of the state ethics laws. Attached is a letter from Governor Malloy that should be provided to each potential employee, as well as the latest version of the Office of State Ethics' Guide to the Code of Ethics, and a sample acknowledgement form.

Attached are the letter and receipt that were distributed with the May 19, 2011 e-mail communication referenced above.

## Agency Ethics Liaisons – Preparation to meet May 1<sup>st</sup> Filing Deadline

**Please make certain your list of designated agency filers is complete and accurate in the filing system by Friday, March 7, 2014.**

Statements of Financial Interests (“SFIs”) serve as a tool to maximize public confidence in governmental decision making. The policy underlying this requirement has been in effect since the enactment of the Ethics Codes in 1977. An SFI provides a checklist or reminder to the public official or state employee to be mindful of potential conflicts of interest, and it provides a baseline of information which can be compared to subsequent years for the purpose of determining potential misuse of office for financial gain.

Last year Governor Malloy issued Standard and Designation Guidelines, which proved helpful in assisting your agency head in making determinations concerning required filers. Please find below the revised standards and guidelines for 2014.

**View:** [Governor Dannel P. Malloy’s Standard and Designation Guidelines](#)

For assistance on how to maintain filers please contact us at 860-263-2400 or refer to the [Guide to the Statements of Financial Interests Filing System for Agency Ethics Liaisons](#)

The Office of State Ethics will notify each designated individual of his or her obligation to file on or about March 11, 2014.

Nancy S. Nicolescu  
Director of Education and Communications  
Office of State Ethics