

OSE NEWS JULY – AUGUST 2014

Audit Report: 2013 Statement of Financial Interests

We have performed an audit of a random sampling of the annual 2013 Statement of Financial Interests forms filed with the Office of State Ethics. Our audit was based on a sample of 265 randomly selected SFI forms, or approximately 10% of the 2,551 required filers¹ as of May 1, 2014. Our audit procedures were designed to reveal the level of technical statutory compliance, and were similar in nature to those employed in the audits of client and lobbyist registrants.

The continued rise in accuracy and completeness of the SFI forms is largely attributable to a combination of (1) increased education, advice, and assistance; (2) increased on-line filing, and the continued improvement of the on-line filing system; (3) improvement in communications with the ethics liaisons at Executive branch agencies; and, (4) select, but impactful, enforcement.

Read Report: [Audit Report: 2013 Statement of Financial Interests](#)

Office of State Ethics Frequently Asked Question

I am a state employee and I believe that someone I work with is doing something that violates the Code of Ethics. May I file a complaint with the Office of State Ethics? Am I required to file a complaint?

Any state employee, public official or member of the public may file a complaint with the Office of State Ethics. A complaint must be filed on a form prescribed by the Citizen's Ethics Advisory Board, and signed under penalty of false statement. Certain agency officials, such as Commissioners and Deputy Commissioners, Agency Heads and Deputy Agency Heads and persons in charge of state agency procurement, are **required** to report any suspected violation of the Code of Ethics.

Read Guide: [Citizen's Guide to Filing a Complaint](#)

Note: The Enforcement Division also accepts "tips" through e-mail, a telephone call, a written statement on paper that is not the proper form, a form that is sent via fax or e-mail, an anonymous statement, or a form without the full name, address and phone number of the complainant (the person filing the complaint).

I just filed a complaint with the Office of State Ethics. With whom may I share this information?

No one. Any complaint alleging a violation of the Codes of Ethics must remain confidential except after a finding of probable cause, at the request of the respondent or upon an agreed resolution of the matter by consent order. While the investigation is confidential, no one – the complainant, respondent, witness, designated party, OSE Board member, OSE staff member – may disclose that a complaint has been filed, or any information related to the investigation of the complaint.

Read Opinion: [Advisory Opinion 2007-9](#)

Nancy S. Nicolescu
Director of Education and Communications
Office of State Ethics
nancy.nicolescu@ct.gov