

# OSE NEWS OCTOBER 2015

## **Audit Report: 2013 Statement of Financial Interests**

We have performed an audit of a random sampling of the annual 2014 Statement of Financial Interests forms filed with the Office of State Ethics. Our audit was based on a sample of 260 randomly selected SFI forms, or approximately 10% of the 2,602 required filers 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 audit revealed that, among the audit pool, the vast majority of required filers filed their SFI forms in a full, complete and timely manner. For the first time, the Office cross-referenced several areas of SFI responses with publicly available databases in order to test the completeness and accuracy of the audited pool with respect to property ownership and associated businesses.

Over the seven year span in which the Office has conducted an audit of SFI forms, the general trend has been that errors in audited forms have steadily decreased, owing largely to: (1) the increase in the percentage of on-line filers (which has increased from 78% for the 2008 form to 95% this past year), the form provides on-line instructions and forces filers to respond to each question before submitting the form; (2) continued interface with Ethics Liaisons at each agency; (3) continued educational efforts; and, (4) the deterrent effect of the audit program coupled with enforcement.

**Read Entire Report:** [Audit Report: 2014 Statement of Financial Interests](#)

## **Education and Training**

### **New! Web-Streaming Video Training**

#### **Top Ten Rules for State Employees and Public Officials**

Our 30-minute training video features the Top Ten Rules presentation and is an excellent refresher course. It can be utilized to meet the annual training requirement.

Click the link to begin the training video: [Ethics Training](#)

## **Recent Enforcement Actions**

In the Matter of Manuel Rosales. On October 21, 2015, the Office of State Ethics and the Respondent entered into a Consent Order settling allegations of violations of the Code of Ethics, General Statutes § 1-84 (c). Under this section of the Code, a public official or state employee is prohibited from using their state position to obtain personal financial gain.

The complaint alleged that from 2010 through 2014, the Respondent utilized state resources, including his state-issued computer and state-provided e-mail account, in order to conduct his private business. He also violated §1-84 (b) which prohibits a public official or state employees from accepting outside employment that will impair his independence of judgment as to his official duties or employment.

Under the terms of the Stipulation and Consent Order, the Respondent agreed to pay a civil penalty of \$5,000, (\$3,500 for his violations of Section 1-84 (c) and \$1,500 for his violations of Section 1-84 (b)).

View: [Stipulation and Consent Order 2014-08](#)