

# Minutes

## November 29, 2007

The Citizen's Ethics Advisory Board ("Board") of the Office of State Ethics ("OSE") held its regular meeting on Thursday, November 29, 2007 at 1:00 p.m., in Conference Room 2-A, 2<sup>nd</sup> floor, 18-20 Trinity Street, Hartford, CT 06106.

Chairperson Robert Worgaftik called the meeting to order at 1:04 p.m.

The following members of the Board attended the meeting:

- Robert Worgaftik, Chairperson
- Enid Oresman, Vice-Chairperson
- Jaclyn Bernstein
- Rebecca Doty
- Sister Sally J. Tolles
- Dennis Riley participated by phone
  
- Board member Michael Rion was absent.

The following staff members of the OSE attended the meeting:

- Beverly Hodgson, Interim Executive Director
- Barbara Housen, General Counsel
- Thomas K. Jones, Ethics Enforcement Officer
- Cynthia Isales, Assistant General Counsel
- Peter Lewandowski, Assistant General Counsel
- Brian O'Dowd, Assistant General Counsel

Chairperson Worgaftik noted that the materials to be discussed at this meeting were previously sent to the members of the Board via U.S. mail and that they therefore had the opportunity to thoroughly review these documents.

The following topics were addressed during the meeting:

1. The Minutes of the October 25, 2007 regular meeting were presented to the Board for approval. **The Board voted five (5) to one (1) in favor. Vice-Chairperson Oresman abstained.**
2. The Minutes of the November 13, 2007 meeting were presented to the Board for approval. **The Board voted six (6) to zero (0) in favor.**
3. The minutes of the November 19, 2007 meeting were presented to the Board for approval. **The Board voted six (6) to zero (0) in favor.**

Chairperson Worgaftik thanked Interim Executive Director Beverly Hodgson for the sixty days she assisted and helped the OSE.

4. Ms. Beverly Hodgson presented her report and started by thanking the Board for the opportunity to serve the OSE. She summarized the state of the office as the OSE prepares to transition under the direction of a new Executive Director. She mentioned the remarkable and great strides this office is making towards becoming completely functional. She also updated the Board on the staffing needs. Finally, she indicated that during her time she witnessed a competent, serious and dedicated staff working well as a team to provide prompt answers and services to the regulated community, and that, as a resident of this state, she is enthusiastic to know that these functions are being done by the OSE staff.

5. Thomas K. Jones, Ethics Enforcement Officer, presented the Enforcement Division's Report to the Board.

6. Barbara Housen, General Counsel, presented the Legal Division's Report to the Board.

7. Assistant General Counsel Brian O'Dowd presented the Board with the following draft advisory opinion: "Application of General Statutes § 1-84 (m) to the Commercial Recording Division of the Office of the Secretary of the State." The vote was five (5) to one (1) in favor, with Board member Riley voting against.

8. Assistant General Counsel Cynthia Isaacs presented the Board with the following draft advisory opinion: "Application of the Code of Ethics for Lobbyists to Registration and Reporting Requirements of Non-Profit Organizations." The draft opinion was tabled until our next Board meeting to be held on December 13, 2007.

9. Assistant General Counsel Peter Lewandowski presented the Board with a summary of the staff's proposed legislative initiatives for the 2008 session. After thoroughly deliberating, the Board voted unanimously to accept the following proposals and to have them prioritized in the order listed below.

Proposal #1: Attorney Fees: Award attorney fees only upon a showing that the complaint had no basis in fact and limit attorney fees to \$5,000.

Proposal #2: Allow the OSE to collect the amount of any financial advantage knowingly received by a state contractor through violations of § 1-101nn.

Proposal #3: Make the ban against state agencies and quasi-public agencies from hiring lobbyists enforceable under the Code of Ethics.

Proposal #4: Section 1-84 (p) - Gift giving between supervisors and subordinates to be limited to \$100 per calendar year.

Proposal #5: Require a majority of members present and voting to find a violation of the Code of Ethics, rather than a concurring vote of six members.

Proposal #6: Make revolving door restrictions of former Gaming Policy Board members enforceable under the Code of Ethics.

Proposal # 7: Require the Agency Procurement Officer of the State Contracting Standards Board to file Statement of Financial Interests.

Proposal #8: Audit Enforcement Amendment – allow prosecution of lobbyists based on audit findings.

Proposal #9: Section 1-96 – Inclusion of “state employees” to lobbyists’ reporting of gifts.

Proposal #10: Make the existing ban on General Assembly members who appear before the General Assembly as attorneys enforceable under the Code of Ethics for Public Officials.

Proposal #11: Make revolving door restrictions of former General Assembly members enforceable under the Code of Ethics for Public Officials.

Proposal #12: Make revolving door restrictions of former Department of Public Utility Control commissioners enforceable under the Code of Ethics for Public Officials.

The Board voted six (6) to zero (0) to exclude the original Proposal #6 (“Spouse Lobbying Restriction”) from the proposals to be submitted to the legislature.

The Board then decided to table the review of all remaining proposals to the December 13, 2007 meeting.

10. Chairperson Worgaftik announced that the Personnel Search Committee has recommended Carol Carson to be appointed the new Executive Director of the OSE.

11. The Board then voted to appoint Carol Carson as the new Executive Director of the OSE. The vote was six (6) to zero (0) in favor. Chairperson Worgaftik announced that Ms. Carson will start her employment on December 17, 2007.

12 The Board voted to appoint Rebecca Doty to represent the CEAB on the Community College Committee created in connection with Public Act 07-166, which requires that the Chairman of the Board appoint one member of the CEAB to serve a two-year term on each constituent unit of the State System of Higher Education. The vote was six (6) to zero (0) in favor.

The Board adjourned the meeting at 3:25 p.m.

Respectfully submitted,

Iris E. D’Oleo-Edwin, Clerk  
Citizen’s Ethics Advisory Board

Approved: 12/27/07