



CONNECTICUT OFFICE OF STATE ETHICS

BULLETIN SPRING 2010

TALK TO US

CONNECTICUT
OFFICE OF
STATE ETHICS

18-20 TRINITY
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ANNUAL REPORT

In 2009, the Office of State Ethics saw significant progress in all areas of the agency's operations: education; interpretation; enforcement and records retention. The agency's [Annual Report](#), submitted to the Governor in February, details the specific and quantifiable successes in all of these areas during the calendar year.

For example, the OSE's online training program received 2,727 visits, and the educational web-streaming video was viewed over 1,000 times. The Legal Division received 1,097 requests for advice, which were all answered with the exception of 12 that remained open at the end of the year.

The Enforcement Division resolved 50 matters that resulted in over \$31,000 received in penalties, and completed 60 audits of registered client and communicator lobbyists.

The agency handled 2,765 public official Statements of Financial Interests and debuted two new filing systems.

Overall, the agency operates at a cost of only \$.58 per citizen of Connecticut. The OSE promotes integrity in government by providing advice, guidance and education to public officials, state employees and lobbyists; by sensibly interpreting and, when necessary, fairly and impartially enforcing applicable laws; by administering the lobbyist and financial disclosure filing systems; and by providing the public with access to non-exempt information.

As reflected in the Annual Report, we are doing just that, and look forward to enhancing our productivity and results in the coming year.

LETTER FROM THE DIRECTOR



Welcome to the first Bulletin of the Office of State Ethics. We have established this seasonal bulletin to communicate with and maintain our valuable relationships with our stakeholders, including lobbyists, public officials, state employees, former interns, and former Citizen's Ethics Advisory Board Members.

The Office of State Ethics continues to move forward as shown in the Annual Report, press releases and legislative efforts that are detailed in this first issue.

Whatever relationship you have or have had with the OSE, you are a vital component of the "Ethics Matters" message.

We hope you enjoy reading about the agency's successes, and take every opportunity available to stay involved and spread the word that the OSE is doing work that matters – not just to those who are regulated, but to the citizens of Connecticut who seek a transparent state government with integrity and accountability.

Contact us with questions at OSE@ct.gov and let us know if you would like us to address any matter in future issues.

Sincerely,

Carol Carson
Executive Director

LEGISLATION UPDATE

The 2010 Legislative Session is a short one, ending on May 5. As of May 4, with just one day remaining, the following is the status concerning OSE-related legislation.

The GAE Committee introduced two bills on its own concerning the OSE: **SB289** requires Statements of Financial Interests to be filed electronically and to be available to the public online. **SB366** prohibits CEAB members from certain compensated or uncompensated activities for a state political campaign.

Additionally, **SB330**, proposed by UCONN, exempts student employees from the definition of “state employee,” and therefore from the Ethics Code provisions. OSE opposes wholesale exemptions from the Codes of Ethics and has proposed an amendment that is responsive to the bill’s policy goal of encouraging students at public institutions of higher education to pursue post-graduate employment in Connecticut.

HB5403, proposed by the OSE, contains a number of ethics code revisions including CEAB membership, OSE’s authority to interpret Parts III and IV of Chapter 10, limiting gifts between supervisors and subordinates, increasing the lobbyist registration threshold, and more.

HB5517 requires investment services firms to disclose contributions made or solicited to the State Treasurer (on a CEAB-prescribed form) by a principal or PAC prior to contracting with the State Treasurer.

Finally, **HB5427** requires those filing financial disclosure statements with the Secretary of the State to file instead with the OSE.

Please contact your legislator to voice your opinion on these bills.

MEET THE CITIZEN’S ETHICS ADVISORY BOARD (CEAB)

Current Citizen’s Ethics Advisory Board Members:

Thomas H. Dooley, Chairman, of Vernon, appointed by Governor M. Jodi Rell for a four-year term expiring on September 30, 2012.

Kathleen F. Bornhorst, Vice Chairperson, of Hartford, appointed by Governor M. Jodi Rell for a four-year term expiring on September 30, 2012.

Ernest N. Abate of Stamford, appointed by Speaker of the House of Representatives, James A. Amann, for a four-year term expiring September 30, 2011.

General David Gay (Retired) of Windsor, appointed by Governor M. Jodi Rell for a four-year term expiring on September 30, 2013.

Dennis Riley of Norwich, appointed by Senate President Pro Tempore, Donald E. Williams, for a four-year term expiring on September 30, 2013.

Shawn T. Wooden of Hartford, appointed by Senate Majority Leader, Martin Looney, for a four-year term expiring on September 30, 2013.

Martin Marguiles of Newtown, appointed by House Majority Leader Denise Merrill, to fill a vacancy ending September 30, 2011.

OSE IN THE NEWS

The OSE has disseminated 13 press releases in 2010, most of which deal with settlements of enforcement matters. To view these releases and accompanying enforcement documents, visit the “Press Room” on the OSE website, www.ct.gov/ethics.

To be notified via e-mail each time a press release goes out, please visit the website to subscribe to OSE “E-Alerts.”

STAFF NOTES

Amy Schwarzkopf joined the OSE in January 2010 as a Legal Investigator in the Enforcement Division. Previously, Amy worked for 11 years at the Department of Public Health as a Child Care Licensing Specialist, where she investigated child care facilities and provided technical assistance on compliance with regulations.

She is a nationally-certified investigator through the Council of Licensure, Enforcement and Regulation in both basic and specialized programs.

At the OSE, Amy has hit the ground running, conducting detailed investigations connected with complaints and assisting in the preparation and presentation of enforcement cases.



2009 CEAB Members:

Seated L-R: Rebecca Doty, Sister Sally Tolles, Kathleen Borhorst. Standing L-R: G. Kenneth Bernhard, Thomas Dooley, Shawn Wooden, Robert Worgaftik, Ernest Abate, Dennis Riley.