

Our Mission

The Connecticut Office of State Ethics practices and promotes the highest ethical standards and accountability in state government by providing education and legal advice, ensuring disclosure, and impartially enforcing the Codes of Ethics.

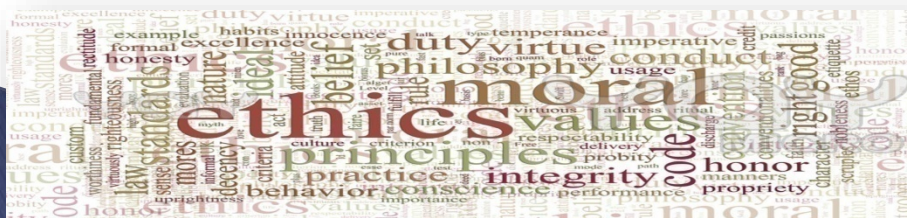


The Code of Ethics

Who is covered by the Codes of Ethics?

All State Officials and Employees (Except Judges)
Lobbyists
Contractors

What's the point?





What is Ethics?

- ▶ Legal –

Specific rules about behavior



What is Ethics?

▶ Intrinsic –

Obedience to the unenforceable –

Lord Moulton



What is Ethics?

▶ Practical –

What you do when no one is looking



What is Ethics?

- ▶ Value-oriented

Knowing the difference between what you have a right to do and what's right to do-

Potter Stewart



What is Ethics?

▶ Cultural –

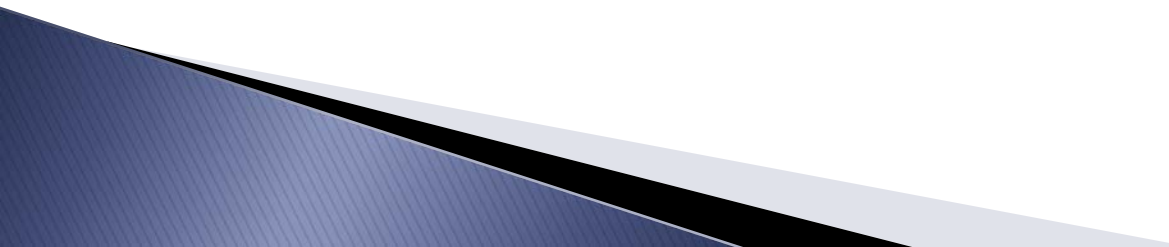
Practical rules for living in society

Without ‘ethical culture,’ there is no salvation for humanity –

Albert Einstein



What is Ethics?

- ▶ Ethics is as old as the Bible, as old as Hammurabi's Code
 - ▶ First settlers in America, 1600's Mass Bay Colony
 - ▶ Land grant agents and railroads, post-Civil War
 - ▶ Dollar a year men, 1930s
 - ▶ 1960's – JFK
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What is Ethics?

- ▶ **Watergate**
- ▶ **Sarbanes Oxley (Enron, WorldCom, Tyco)**
- ▶ **CT Governor John Rowland**
- ▶ **Financial Crisis of the 2000s**



What is an ethical culture?

- ▶ **Doing the right thing matters**
- ▶ **Doing what is right is expected**



What is an ethical culture?

- ▶ **Built on three pillars**
 - ▶ **Education – Know the Rules!**
 - ▶ **Enforcement – Know the Consequences!**
 - ▶ **Advice – Know how to get advice!**



What is an ethical culture?

- ▶ **LEADERSHIP! LEADERSHIP! LEADERSHIP!**
- ▶ **More than compliance**
 - ▶ **Fairness and Consistency**
 - ▶ **Action**
 - ▶ **Communication**
 - ▶ **Transparency**
 - ▶ **Honesty**
- ▶ **ETHICS IS A PRIORITY!!**



What is an ethical culture?

CASE STUDY

Department of Transportation

- ▶ **Education as a driver for culture change**
 - ▶ **Liaisons/Compliance Officers**
 - ▶ **F2F training Obey the Orange handouts**
 - ▶ **“Treasures”**
 - ▶ **Updated policies and procedures**



What is an ethical culture?

CASE STUDY

Department of Mental Health and Addiction Services

- ▶ **Enforcement as a driver for cultural change**
 - ▶ **Clinicians using office for private practice**
 - ▶ **Leadership calls for F2F trainings**
 - ▶ **Updated policies and procedures**



Ethical Decision-Making

What are your rules?

- ▶ What won't you do?
- ▶ What is your plan?

Consequences of Failure/Negative Impacts

- ▶ Employees
- ▶ Business
- ▶ Profits
- ▶ Reputation – the hardest to recover



Four Tips

- ▶ When in Doubt
- ▶ Media Test
- ▶ Colleague Test
- ▶ Best Test of All

Top Ten Ethics Rules for Public Officials and State Employees

1. ALWAYS GET ADVICE!

GIFTS

2. In general you may not accept gifts from lobbyists or anyone who is regulated by, doing business with, or seeking to do business with your agency. There are 19 gift exceptions.
3. Immediately refuse or return gifts within 30 days that do not meet the gift exceptions.
4. Gift exchanges between supervisors and subordinates: \$99.99 per gift limit.

USE OF STATE POSITION

5. You may not use your state position or take official action if it would result in a financial gain or loss for you, your family, or a business you are associated with.
6. Only use State time, personnel, materials or equipment for State business.

OTHER EMPLOYMENT

7. You may not accept outside employment that impairs your independence of judgment regarding your state duties, or that encourages you to disclose confidential information learned from your position.
8. If you, your family, or an associated business seek to enter into a contract with the State, certain rules must be followed.
9. A supervisor may not hire a subordinate to work for his or her outside business; it is also impermissible for a subordinate to hire a supervisor.
10. When you leave State service, there are restrictions on where you may work and what actions you may take: some restrictions last one year; others a lifetime.

Detailed information concerning the Top Ten Rules and other provisions for the Code of Ethics can be found in our plain-language publication:

[Public Officials and State Employees Guide to the Code of Ethics](#)