

CONNECTICUT

INTRODUCTION

The Citizens' Ethics Advisory Board and the Connecticut Office of State Ethics administer and enforce the state ethics rules. [CONN. GEN. STAT. §§ 1-80\(a\), 1-81](#). Their jurisdiction covers elected and appointed executive branch officials, legislators, and career civil servants. [CONN. GEN. STAT. §§ 1-80\(a\), 1-81](#).

SCOPE OF SANCTIONS

Personnel actions - NONE

Injunctions – Cease and desist order or file any report, statement or other information required. [CONN. GEN. STAT. § 1-88\(a\)](#)

Fines – up to \$10,000 per violation. [CONN. GEN. STAT. § 1-88\(a\)](#). Fines not to exceed \$10 per day for failure to file any report, statement or other information as required.

ENFORCEMENT ACTIONS for 2016, 2017, and 2018, if available

1. How many complaints were filed?

2016 – 99 investigations of potential violations of the Code of Ethics were opened.¹

2017 – 59 investigations of potential violations of the Code of Ethics were opened.²

2018 – 40 investigations of potential violations of the Code of Ethics were opened.³

2. How many complaints were dismissed?

2016 – This information cannot be determined.

2017 – This information cannot be determined

2018 – This information cannot be determined.

3. How many cases were resolved with a finding of no ethics violation?

2016 – This information cannot be determined.

2017 – This information cannot be determined.

2018 – This information cannot be determined.

4. How many cases were resolved with a finding of an ethics violation?

2016 – 4 cases were resolved with finding of an ethics violation.⁴

2017 – 5 cases were resolved with finding of an ethics violation.⁵

2018 – 4 cases were resolved with finding of an ethics violation.⁶

5. What sanction was adopted?

2016 – Fines between \$1,000 and \$3,500 were adopted.⁷

2017 – Fines between \$250 and \$20,000 were adopted.⁸
2018 – Fines between \$3,000 and \$5,000 were adopted.⁹

ARE THE DECISIONS PUBLICLY AVAILABLE?

Yes – decisions where a violation occurred are publicly available.¹⁰

SOURCES

Connecticut Office of State Ethics, Violations Webpage,
<https://www.ct.gov/ethics/cwp/view.asp?a=2307&q=423698>

Administrative Reports provided via email from Ms. Carol Carson, Executive Director of the Connecticut Office of State Ethics, on March 7, 2019.

NOTES

The Administrative Reports provided by Ms. Carson are not publicly available elsewhere. These Reports compile information based on the fiscal year rather than calendar year; however, the online list of decided cases appears to assign case numbers based on calendar year. The Administrative Reports contain information about the number of cases resolved with a finding of an ethics violation. However, C4I used the online database to report the number of these cases because the online database is more publicly accessible and provides information on sanctions. The figures in the online database may not perfectly align with the numbers in the Administrative Reports.

The webpage reporting decided cases is continuously updated as cases are resolved. There may be additional cases opened that have not been resolved yet and are therefore not posted on the webpage. This impacts the overall statistics contained in this report.

¹ 2016 Administrative Report, pg. 2. In addition, 132 enforcement matters for violations of filing requirements for lobbyists and other covered officials were opened.

² 2017 Administrative Report, pg. 2. In addition, 150 enforcement matters for violations of filing requirements for lobbyists and other covered officials were opened.

³ 2018 Administrative Report, pg. 3. In addition, 107 enforcement matters for violations of filing requirements for lobbyists and other covered officials were opened. 3 related to financial disclosure requirements.

⁴ Violations Webpage as of 4/15/19

⁵ Ibid.

⁶ Ibid.

⁷ Ibid.

⁸ Ibid.

⁹ Ibid.

¹⁰ Violations Webpage