



CONNECTICUT STATE CONTRACTING STANDARDS BOARD

ETHICS POLICY

Section 1. Purpose

Ethical conduct and transparency in the conduct of its business are core values of the State Contracting Standards Board (“SCSB”). The SCSB and each employee thereof is expected to maintain the highest standards while conducting their duties to maintain public trust and confidence in the SCSB. It is the purpose of this Ethics Policy to establish the highest standards of honesty, integrity and quality of performance for all SCSB members and employees, recognizing the need for compliance with all relevant statutes, executive orders, rules and regulations to avoid even the appearance of impropriety in the performance of the SCSB’s statutory mandate.

In particular, each SCSB member and employee is responsible for his or her conduct and should become familiar with the Code of Ethics for Public Officials. A copy of the Guide to the Code of Ethics for Public Officials and State Employees may be found by clicking [here](#). All state officials and employees (except judges) are covered by Part I of the Code of Ethics for Public Officials. It is also important to remember that certain provisions of the Code also apply to state officials and employees after they leave state service.

This Ethics Policy is intended to be a general guide for SCSB members in determining what conduct is prohibited so that it may be avoided.

Section 2. Values

In performance of their duties, SCSB members and employees shall:

- Maintain ethical standards beyond strict compliance with relevant statutes and regulations;
- Act in a professional, patient, dignified and courteous manner to all persons with whom such employees deal in their official capacities;
- Fulfill the statutory mandate of the SCSB as the central oversight and public policy body for all procurement processes in the State of Connecticut;
- Act in the best interest of the SCSB and the State of Connecticut, without influence of personal or partisan interests, public clamor or fear of criticism;
- Preserve the fairness and integrity of all decision-making processes;

- Maintain transparency and honesty in all operations of the SCSB;
- Act as responsible stewards of all the SCSB assets;
- Provide for the timely distribution of all public information to any interested party; and
- Maintain the public trust by strict adherence to the public purpose for which the SCSB was created.

Section 3. Applicability

This Ethics Policy is applicable to all members of the SCSB, all non-voting members, staff, interns, volunteers, and, to the extent required by law, any advisory committees, subcommittees, councils, and panels formed by the SCSB.

Section 4. Enforcement

Any questions or concerns regarding violations or suspected violations of either the Code of Ethics for Public Officials or this Ethics Policy shall be brought to the attention of the Chairperson or Executive Director of the SCSB, in writing, who shall then transmit such questions or concerns to the SCSB.

Persons subject to this Ethics Policy may also seek advice from the Connecticut Office of State Ethics at 860-566-4472 regarding known or suspected violations of the Code of Ethics. Further, persons subject to this Ethics Policy may seek advice from the Office of State Ethics should any questions arise concerning his or her own conduct.

Intentional violations of either the Code of Ethics for Public Officials or this Ethics Policy will not be tolerated and will be reported to the Board and the Office of State Ethics, which could result in disciplinary action such as probation or an ethics hearing and, if applicable, referral to the appropriate federal and state agencies in accordance with Connecticut General Statutes (“C.G.S.”) Chapter 10 Code of Ethics.

Section 5. Code of Ethics Compliance

As public officials of the State of Connecticut, SCSB members are subject to all relevant ethics statutes, regulations, and the like of the State of Connecticut. Key provisions of the Code of Ethics for Public Officials include, but are not limited to:

- **GIFTS** – In general, public officials are prohibited from accepting gifts from anyone doing business with, seeking to do business with, or directly regulated by the official’s agency or department or from persons known to be a registered lobbyist or lobbyist’s representative. There are also restrictions on gifts between public officials in certain circumstances. (See the Guide to the Code of Ethics for Public Officials and State Employees, and Selected Statutory References, Sections 1-79(e) and 1-84(m) found therein.)

- **FINANCIAL BENEFIT** – A public official is prohibited from using his/her office or non-public information obtained in state service for the financial benefit of the individual, certain family members, or that of an associated business. (See Selected Statutory References, Section 1-84(c))
- **FINANCIAL DISCLOSURE** – All SCSB members are required to file a financial disclosure statement with the Office of State Ethics. Some or all of the information contained in the financial disclosure statement may be considered public information. (See the Guide to the Code of Ethics for Public Officials and State Employees and Selected Statutory References, Sections 1-79(e) and 1-84(m)).
- **RECUSAL OR REPORTING IN CASE OF POTENTIAL CONFLICTS** – The Code of Ethics requires that public officials avoid potential conflicts of interest. If a member would be required to take official action that would affect a financial interest of such member, certain family members or a business with which they are associated, they must excuse themselves from participating in deliberations, voting or otherwise taking affirmative action on the matter. (See Selected Statutory Reference, Section 1-86(a), found by clicking here). Additionally, the SCSB has prepared a written Ethics Statement (as noted in sec. 1-86 (a) of the statutes), which can be found on the SCSB website here.
- **OUTSIDE EMPLOYMENT** — No SCSB member (or employee/staff) may accept outside employment that will impair his or her independence of judgment with regard to his/her state duties or would encourage the disclosure of confidential information gained in state service. Additionally, although a SCSB member or employee may use his or her expertise, he or she may not use his or her state position to obtain outside employment. A SCSB member or employee is not allowed to use his or her business address, telephone number, title or status in any way to promote, advertise or solicit personal business. Finally, in accordance with C.G.S. § 4e-2(j), no SCSB member may simultaneously hold any municipal or another state position.

The foregoing items are not an exhaustive list of prohibited activities, and each member should familiarize himself or herself with the Code of Ethics for Public Officials.

Section 6. Outside Business Interests

It is expected that some SCSB members and staff will directly or indirectly have outside business or professional interests that relate to matters within the resources or policy. Such outside interests do not create a conflict of interest, provided that a member or staff: (a) shall not participate in any deliberation or vote; and (b) shall not take any other affirmative action as a member or staff with respect to a matter in which the member or staff has an interest which is in substantial conflict with the proper discharge of the member's/staff's duties and responsibilities as a member or staff of the SCSB. Whether a "substantial conflict" exists is outlined in Section 1-85 of the Connecticut General Statutes. (See Selected Statutory Reference, Section 1-85)

Section 7. Additional SCSB Policies

Given that the SCSB is partially funded through a surcharge on consumers of electric services in the State of Connecticut and the SCSB's statutory mandate is to foster the growth, development, and commercialization of clean energy resources and environmental infrastructure projects, and to stimulate demand for clean energy and environmental infrastructure projects, among other things, the SCSB expects that, in addition to complying with the Code of Ethics for Public Officials and State Employees, that its members will:

- Protect the confidential information to which SCSB members have access
- Avoid actual or potential conflicts of interest
- Neither interfere with nor solicit contracts on behalf of any person
- Submit the Statement of Financial Interests disclosure documents to the Office of State Ethics in a timely manner.
- Complete annual Ethics Training developed and provided by the Office of State Ethics in accordance with the mandate outlined in the Code of Ethics under C.G.S. § 1-81c.

Section 8. Post-State Employment Restrictions

SCSB members are required to comply with the Code of Ethics provisions pertaining to post-state employment, which are commonly known as the "revolving door" provisions. For example, there are restrictions on accepting employment with a party to certain contracts (which would include contracts relating to investments or other financial assistance) if the member was involved in the negotiation or award of the contract, restrictions on representing other parties before the SCSB during a one-year period following departure from state service, and restrictions on accepting employment as a lobbyist or acting as a registrant if the member were convicted of any felony involving corrupt practices, abuse of office or breach of the public trust.

There is a lifetime ban on disclosing any parties' financial confidential information that any SCSB member learned in the course of his or her state employment with the SCSB. Additionally, there is a lifetime ban on representing any party other than the state in connection with any matter in which any SCSB member substantially participated in during each SCSB members' tenure with the SCSB, and in which the state has a substantial interest.

Members should familiarize themselves with the statutes pertaining to post-state employment generally, which can be found at Connecticut General Statutes Sections 1-84a and 1-84b. (See Selected Statutory References). You may access these statutes [here](#). A summary of these requirements is included in the Guide to the Code of Ethics for Public Officials and State Employees found above.

Section 9. SCSB Staff

Members understand that SCSB employees are subject to the SCSB Ethical Conduct Policy. Known or suspected breaches of the SCSB Ethical Conduct Policy by such employees may require

reporting to the SCSB's General Counsel acting as the SCSB's Ethics Compliance Officer and may require disciplinary action as provided by the SCSB's employment policies, in addition to sanctions provided by state law.

It is the responsibility of each SCSB employee to solicit guidance from the SCSB's Ethics Compliance Officer, [Gregory Daniels](#), or the Office of State Ethics at 860-566-4472 should any question arise concerning his or her conduct.

Section 10. Confidentiality Statement

It is the policy of the State Contracting Standards Board ("SCSB") that board members of the SCSB will not disclose confidential information belonging to, or obtained through their affiliation with, the SCSB to any person, including their relatives, friends, and business and professional associates. This policy is not intended to prevent disclosure where disclosure is required by law, specifically Connecticut's Freedom of Information Act. Confidentiality is the preservation of privileged information. SCSB board members and other employees/staff are cautioned to demonstrate professionalism, good judgment, and care at all times in handling any information related to the activities of the SCSB to avoid unauthorized or improper disclosures of confidential information. While SCSB board members and employees are expected and encouraged to discuss the organization with one another, they shall not report opinions expressed in meetings, nor shall they report independently on the SCSB board or committee actions, or engage in any communication that has not been approved by the Executive Director or that would not be supported by SCSB board policy, procedures, or decisions. At the end of the SCSB board members' term (or upon his/her retirement, resignation or removal) from the SCSB Board, he/she shall return, at the SCSB's request, all documents, papers, and other materials, regardless of medium, which may contain or be derived from confidential information, in his/her possession. It is expected that SCSB board members will not use trade secrets, client lists, or other confidential information acquired by virtue of being on the board or committee, even after they complete their service with the SCSB.

Approved by the SCSB: April ___, 2024.

Member Acknowledgment Form

I have received a copy of the Connecticut State Contracting Standards Board Member Ethical Conduct Policy and understand that it is my responsibility to read and comply with this policy and any revisions made to it. Should the contents of this policy be changed, I understand that I may be required to provide a written acknowledgment that I have received and understand the change(s).

Member's Signature

Date

Print Member Name

DRAFT - Most Recent Revision: 2024-04-05