

FIFTEEN ROPE FERRY ROAD
WATERFORD, CT 06385-2886



PHONE: 860-442-0553
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ATTEST: *[Signature]*
TOWN CLERK

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Legislation & Administration Committee of the RTM
Meeting Agenda
June 15, 2026 | 6:30PM
Board of Education Conference Room, 2nd Floor, Waterford Town Hall

1. Confirmation of Quorum and Call to Order
2. Public Comment
3. Consideration and Action on Minutes of the March 30, 2026 Committee Meeting
4. Review of Matters Currently Referred to the Committee
 - a. Review of Ethics Ordinance 2.50 (RTC 10/7/24)
 - b. Review of a "Public Comment Ordinance" (RTC 2/6/23)
 - c. Review how RTM considers recommendations for committee assignments (RTC 6/6/22)
5. Future Meeting Schedule
6. Adjournment

Encl: *L&AMeetingMinutes_3-30-2026*
Letter from Betsy Ritter, Ethics Commission chair, requesting change to Ethics Ordinance 2.50
Town of Waterford Ethics Ordinance
Town of Old Lyme Code of Ethics

DRAFT

MINUTES

LEGISLATION □ ADMINISTRATION STANDING COMMITTEE OF THE RTM PUBLIC HEARING □ SPECIAL MEETING

Monday, March 30, 2026

6:00 P.M. - Waterford Town Hall, Louise Appleby Room

The March 30, 2026 Public Hearing of the Legislation □ Administration Standing Committee of the RTM was called to order by Chairperson Erica Casper at 6:00 P.M.

ROLL CALL

Present: Erica Casper, Mary Childs, Emmy Franklin, Paul Goldstein, Danielle Steward-Gelinas

Absent: None

Also Attending: Town Clerk David L. Campo, Town Attorney Kristi Kelly, RTM Moderator Susan Driscoll, RTM Member Tim Sullivan, RTM Member JoAnna Bennett, Purchasing Agent Shea Davy

The Public Hearing opened at 6:00 P.M. in regard to the Waterford Code of Ordinances proposed amendments to **Section 3.08.030 Purchase categories – Bids/proposals required – Specifications authorized.**

PUBLIC COMMENT: None

Public hearing closed at 6:10 PM

MOTION by Franklin, seconded by Childs to adjourn at 6:10 PM

VOTING IN FAVOR: Unanimous

The March 30, 2025 Special Meeting of the Legislation □ Administration Standing Committee of the RTM was called to order by Chairperson Erica Casper at 6:11 P.M.

ROLL CALL

Present: Erica Casper, Mary Childs, Emmy Franklin, Paul Goldstein, Danielle Steward-Gelinas

Absent: None

Also Attending: Town Clerk David L. Campo, Town Attorney Kristi Kelly, RTM Moderator Susan Driscoll, RTM Member Tim Sullivan, RTM Member JoAnna Bennett, Purchasing Agent Shea Davy

PUBLIC COMMENT: None

AGENDA ITEM 3: Minutes

MOTION by Steward-Gelinas, seconded by Childs, to approve the minutes from the March 19, 2026 meeting as presented.

VOTING IN FAVOR: Unanimous

AGENDA ITEM 4: review of **Section 3.08.030 Purchase categories – Bids/proposals required – Specifications authorized.**

Brief discussion concerning the process. It was noted that an indentation would be needed just prior to “Public competitive bidding” to stay consistent with the Waterford Code of Ordinances. Town Attorney Kristi Kelly noted it was non-substantive and did not require a motion.

MOTION by Steward-Gelinas, seconded by Goldstein, to open discussion in regard to review of **Section 3.08.030 Purchase categories – Bids/proposals required – Specifications authorized.**

VOTING IN FAVOR: Unanimous

MOTION by Steward-Gelinas, seconded by Franklin, to report the issue out of committee with a recommendation to adopt the revised ordinance **Section 3.08.030 Purchase categories – Bids/proposals required – Specifications authorized** to reflect Public Act 25-92. (See Attachment)

VOTING IN FAVOR: Unanimous

MOTION by Steward-Gelinas, seconded by Goldstein, to adjourn at 6:20 P.M.

VOTING IN FAVOR: Unanimous

Respectfully submitted,
Erica Casper
Chairperson

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October 3, 2024

Mr. Paul Goldstein
Moderator, Waterford Representative Town Meeting
Waterford Town Hall
15 Rope Ferry Road
Waterford, CT 06385

Dear Mr. Goldstein,

The Waterford Ethics Commission at its Regular Meeting on October 1, 2024, voted to respectfully request the Representative Town Meeting consider three changes, and any other changes that may seem appropriate, to the Waterford Code of Ordinances.

The requested changes are:

1. Sec. 2.50.070 C be amended with the following added sentence: "If confidentiality is breached at any time from the filing of a complaint until a finding of the presence or lack of probable cause, the investigation is immediately terminated."
2. Sec. 2.50.070 be amended with the addition of appropriate enforcement language to protect the confidentiality of complaints.
3. Sec. 2.50.070 be amended with the addition of the following: "Complaints alleged against more than one individual for the same violation must be made separately."

These changes come as the result of experiences in conducting the business of the Commission. Commission members are available to provide additional information, as permissible, and to facilitate your deliberations as needed. Please notify me as discussions are scheduled or if you need additional information.

Thank you for your time and attention.

Sincerely,

Elizabeth Ritter
Chair, Waterford Ethics Commission
(860) 514-2003

Cc: David Campo, Waterford Town Clerk
Robert Avena, Waterford Town Attorney

Chapter 2.50

ETHICS COMMISSION

Sections:

- 2.50.010 Preamble and declaration of policy and purpose.
- 2.50.020 Definitions.
- 2.50.030 Code of ethics.
- 2.50.040 Establishment of an ethics commission and operating procedures.
- 2.50.050 Adoption of rules of procedure.
- 2.50.060 Advisory opinions.
- 2.50.070 Procedure for receiving and hearing complaints.
- 2.50.080 Notice of hearing and decision.
- 2.50.090 Report of findings and opinions and recommendations.
- 2.50.100 Finances and compensation.
- 2.50.110 Effective date and reports.
- 2.50.120 Distribution of the code of ethics.

2.50.010 Preamble and declaration of policy and purpose.

A. Public office is a trust conferred by public authority for a public purpose. The trust of the public is essential for government to function effectively. Public policy must be based on honest and fair deliberations and decisions. Policy development must be free from threats, undue influence, and all forms of impropriety, so that the confidence of the public is not eroded. By enacting this code of ethics, the Town of Waterford seeks to maintain and increase the confidence of our citizens in the integrity and fairness of their government.

B. The proper operation of town government requires that all public officials and town employees shall be impartial and responsive to the public interest, that public office and employment should not be used for personal gain or advantage, and that public officials and town employees should not place themselves in positions where private interest conflicts with public duty.

C. In recognition of these principles and pursuant to Sections 7-148(c)(10)(B) and 7-148h of the Connecticut General Statutes, there is established a code of ethics for all town public officials and employees, whether elected or appointed, paid or unpaid.
(R.T.M. 12-7-20; Amend. of 2-4-13(1); R.T.M. 6-1-92 (part))

2.50.020 Definitions.

A. "*Business with which the individual is associated*" means any sole proprietorship, partnership, firm, corporation, trust, or other entity through which business for profit or not for profit is conducted in which the public official or town employee or member of that individual's immediate family is a director, officer, owner, limited or general partner, beneficiary of a trust, or holder of stock constituting five percent or more of the total outstanding stock of any class unless the public official or town employee, or member of that individual's immediate family is deemed to be associated with a not-for-profit entity solely by virtue of the fact that the public official or town employee or of immediate family member is an unpaid director or officer of the not-for-profit entity. "Officer" refers only to the president, executive, senior vice president, or treasurer of such business.

B. "Gift" includes, but is not necessarily limited to, a payment, subscription, advance, forbearance, rendering of service, deposit of money, favorable treatment of consequence, or anything of value that is directly and personally received. Gift shall not include:

1. A political contribution otherwise reported as required by law;
2. Services provided to support a political candidate or political party without compensation by persons volunteering their time;
3. A commercially reasonable loan made on terms not more favorable than loans made in the ordinary course of business;
4. Anything of value received because of a family or close personal relationship with the donor;
5. A nonpecuniary gift, including food or beverage, not to exceed twenty-five dollars in value;
6. An award publicly presented in recognition of public service; or
7. Any gift that would have been offered or given to the individual regardless of the individual's status as a public official or town employee.

C. "Immediate family" means dependent relatives who reside in the household and any spouse, children, parents, parents-in-law, siblings, and spouses of children.

D. "Individual" means a natural person.

E. "Town employee" means an individual working for salary or wages from the town, including board of education employees, whether on a part-time or full-time basis and whether the position is reviewed by personnel review board or not, but does not include the town attorney or any public official.

F. "Official act or action" means any legislative, administrative, appointed, or discretionary act of any public official or town employee or of any department, agency, board, committee, or commission of the town.

G. "Person" means any individual, business, corporation, union, association, firm, partnership, committee, club, or other organization or group of persons.

H. "Public official" means any elected official, including members of the board of education and board of selectmen; or any individual, including the town attorney, appointed to any town office, commission, agency, committee, board, or department by the representative town meeting (R.T.M.), board of finance, board of education, first selectman, or board of selectmen.

(R.T.M. 12-7-20; R.T.M. 6-1-92 (part))

2.50.030 Code of ethics.

A. Public officials or town employees have an interest that is in substantial conflict with the proper discharge of duties or employment in the public interest and of responsibilities as prescribed by the laws of this state if they have reason to believe or expect that they, their immediate family, or a business with which they are associated will derive a direct monetary gain or suffer a direct monetary loss, as the case may be, by reason of their official activity.

B. Public officials or town employees do not have an interest that is in substantial conflict with the proper discharge of duties in the public interest and of responsibilities as prescribed by the laws of this state if any benefit or detriment accrues to them, their immediate family, or a business with which they are associated as a member of a profession, occupation, or group to no greater extent than any other member of such profession, occupation, or group.

C. A public official or town employee may not take official action on any matter in which a substantial conflict (as defined in subsection A of this section) exists. If the conflict is disclosed, a public official or town employee may participate in discussions with or give opinions or recommendations to a town board, agency, commission, committee, department, or another public official or town employee.

D. Public officials and town employees shall refrain from using their positions for personal gain and shall keep confidential all information not available to all citizens that is acquired by virtue of their position in the town government.

E. Public officials and town employees shall not request, permit, or engage in the unauthorized use of town-owned vehicles, equipment, materials, or property for personal convenience or profit.

F. Public officials and town employees shall not accept any gift that might reasonably tend to influence the impartial discharge of their official acts.

G. No public official or town employee shall enter into any non-bid contract with the town exceeding five hundred dollars or a series of non-bid contracts exceeding two thousand dollars in any one year. Nothing contained herein shall be construed to prevent any public official or town employee from submitting a competitive, sealed bid in response to an invitation to bid from the town purchasing agent or any commission, board, agency, or committee provided such person does not violate subsection A of this section. Town employee union contracts with the town are not subject to the prohibition of this section. Employee contracts by nonunion personnel are also not subject to the prohibition of this section.

H. No public officials or town employees shall seek for themselves, or grant to any citizen, any special consideration, treatment, or advantage beyond that which is available to every other citizen. No town employee shall seek any special consideration regarding the employee's employment from any town employee or public official. No town employee shall use the employee's position to directly benefit any political party or candidate for public office.

(R.T.M. 12-7-20; R.T.M. 6-1-92 (part))

2.50.040 Establishment of an ethics commission and operating procedures.

A. In accordance with the provision of Section 7-148h of the Connecticut General Statutes, there is created an ethics commission. This commission is empowered to investigate or to cause to be investigated allegations levied against any town board, agency, commission, committee, official, or employee of unethical conduct, corrupting influence, or illegal activities. Allegations of criminal misconduct or violations of the state penal code shall be referred to the police department or state's attorney's office whenever such allegations come to the attention of the commission, whether upon receipt of a complaint or during the course of an investigation. Notwithstanding provisions herein to the contrary, established internal complaint procedures of any town board, agency, commission, or committee, as such procedures may be amended, shall take precedence over the procedures established herein as to allegations levied against any town employee of such board or commission. Complaints that fall under the purview of an established complaint procedure of an agency shall be referred to that agency for disposition. The commission may issue subpoenas or subpoenas duces tecum, enforceable upon application to the superior court, to compel the attendance of persons at hearings and the production of books, documents, records, and papers. The commission shall not initiate investigations on its own volition.

B. The commission shall be comprised of seven resident electors, none of whom shall be town employees or public officials. Two of the appointed members will be designated as alternates by the representative town meeting (R.T.M.). All members shall be appointed by majority vote of the R.T.M. No more than four members shall be members of the same political party. Of the five members initially appointed in 1992, three shall be appointed for a term of two years and two for a term of one year. Of the alternates initially appointed in 1992, one shall be appointed for a term of two years and one for a term of one year. Subsequent appointments to the commission shall be for a term of two years. Any regular member having served three consecutive two-year terms shall be ineligible for reappointment to the commission for a period of two years. For individuals filling a vacancy, consecutive terms of service shall

commence with the beginning of the next appointment term. The two alternative members may fully participate in all hearings and discussions but may not vote unless a regular member steps aside or is not present at the time of the vote.

C. A quorum of four members shall be present in order for the commission to transact the business that comes before it.

D. Notwithstanding the quorum requirement contained herein, no more or less than five members shall ever vote on any decision relative to a complaint that comes before the commission and, to be eligible to vote, the members must have been in attendance at all meetings at which testimony was presented.

E. A person will not be disqualified from serving on the commission if a member of their immediate family is employed by the town or by the Waterford Board of Education or is a public official. However, if an accused person is an immediate family member or an immediate family member's supervisor or employed in the same department as an immediate family member, the commission member will be disqualified from voting on that particular matter.

(R.T.M. 12-7-20; R.T.M. 6-1-92 (part))

2.50.050 Adoption of rules of procedure.

The commission shall adopt rules of procedure and regulations that it deems necessary to carry out the intent of this chapter, and the same and any amendments thereto shall be filed in the office of the town clerk and be available for public inspection. The discussions of the commission held in executive session are to be confidential. The minutes of the commission are public information and, unless confidential, will be made available to the public on the town's website and through the town clerk's office.

(R.T.M. 12-7-20; R.T.M. 6-1-92 (part))

2.50.060 Advisory opinions.

A. The ethics commission shall issue advisory opinions with regard to the requirements of the code of ethics of the town upon the written request of any public official or town employee. Advisory opinions rendered by the commission, until amended or revoked, shall be binding on the commission and shall be deemed the final decisions of the commission.

B. Any advisory opinion concerning the public official or town employee who requested the opinion and who acted in reliance thereon, in good faith, shall be binding upon the commission. It shall be an absolute defense in any action brought under the provisions of the code of ethics (Section 2.50.030 of this Code) that the accused party acted in reliance upon such advisory opinion, assuming there are no relevant facts of which the commission was not aware when the opinion was rendered that would change the opinion of the commission.

C. Each opinion of the ethics commission shall include a disclaimer to the effect that the opinion may be different if different facts are presented to the commission at a later date.

(R.T.M. 12-7-20; R.T.M. 6-1-92 (part))

2.50.070 Procedure for receiving and hearing complaints.

A. The commission shall receive complaints from any person of alleged violation(s) of the code of ethics. Complaints received by the commission must be in writing and signed and acknowledged by the individual making the complaint before: (1) a judge of a court of record, (2) a clerk or deputy clerk of a court having a seal, (3) the town clerk, (4) a notary public, (5) a justice of the peace, or (6) an attorney admitted to the bar of this state. (Complaint of violation of code of ethics forms are available on the ethics commission page of the town website and in the town clerk's office.) A town employee who discloses illegal

activities or unethical practices is protected by Section 31-51m of the Connecticut General Statutes from discharge, discipline, or other penalty unless the town employee knows the report is false. If the person makes a false statement, the person shall be subject to fines under the provisions of Section 53a-157 of the Connecticut General Statutes. See the recommended complaint form in the appendix at the end of the code.

B. A complaint alleging a violation of the code of ethics shall be confidential except upon the request of the respondent. The subsequent evaluation of a possible violation of the code of ethics by the commission shall be confidential except upon the request of the respondent. If the evaluation is confidential, any information supplied to or received from the commission shall not be disclosed to any third party by the respondent, a person contracted for the purpose of obtaining information, or a commission, board or agency, or staff member. No provision of this subsection shall prevent the ethics commission from reporting the possible commission of a crime to the police department or state's attorney's office as appropriate.

C. An investigation conducted prior to a finding of probable cause shall be confidential except upon the request of the respondent. If the investigation is confidential, the allegations in the complaint and any information supplied to or received from the commission shall not be disclosed during the investigation to any third party by a complainant; respondent; witness; designated party; or board, commission, agency, or staff member.

D. Upon receiving a complaint of an alleged violation of the code of ethics, the commission shall, within seven days, notify the respondent in writing, advising the respondent of the specific nature of the complaint made and being investigated by the commission, and enclosing therewith a copy of the complaint. The respondent shall have the right to file a response within ten days after receipt of the notice of complaint. After notifying the respondent, the commission shall make a preliminary investigation of the validity of the complaint including interviews or discussions with the complainant, town personnel, or members of other public or private agencies. The preliminary investigation shall be completed within ninety days after notifying the respondent unless the commission notifies the complainant and the respondent in writing that additional time is required. Any person interviewed by the commission during its investigation shall be entitled to representation by a union representative (where applicable) or an attorney, or both, at any meeting or inquiry during which the person may be subject to an investigatory interview.

E. Not later than three business days after the termination of the investigation, the commission shall inform the complainant and the respondent and, at the discretion of the commission, the respondent's appointing authority or elected body, of its opinion as to probable cause and provide them a summary of its reasons for forming that opinion. Upon the respondent's request, the commission shall announce its opinion and may also announce a summary of its reason for forming such opinion. Such an announcement shall be made, at a minimum, on the town website.

F. If the commission finds no probable cause for such complaint, the commission shall dismiss the complaint. In that event the complaint and the record of its investigation shall remain confidential, except upon the request of the respondent and except that some or all of the record may be used in subsequent proceedings. No complainant; respondent; witness; designated party; or commission, board, agency, or staff member shall disclose to any third party any information learned from the investigation, including knowledge of the existence of a complaint which the disclosing party would not otherwise have known. If such a disclosure is made, the commission may, after consultation with the respondent if the respondent is not the source of the disclosure, announce its opinion and a summary of its reasons. Such an announcement shall be made, at a minimum, on the town website.

G. The commission shall make public an opinion of probable cause not later than five business days after the termination of the investigation. At such time the entire record of the investigation shall become public, except that the commission may postpone examination or release of such public records for a period not to exceed fourteen days for the purpose of reaching a stipulation agreement pursuant to subsection (c) of Section 4-177 of the Connecticut General Statutes.

H. Within ten days after receipt of notice of an opinion of probable cause, the respondent may waive the right of a hearing by the commission; such waiver must be in writing. If a hearing is not waived, it shall be convened within thirty days of the date of giving notice of probable cause to the complainant and respondent. If a hearing is held, the hearing shall be recorded and a written transcript made of said hearing.

I. The mailing address of the ethics commission shall be: Ethics Commission, Town Clerk's Office, 15 Rope Ferry Road, Waterford, Connecticut 06385-2886.

J. In the event a hearing is held, the respondent shall have the right to counsel; to the presence of a union representative, if requested; to confrontation of all witnesses to cross examination; and to present evidence. The hearing shall be open. No hearing shall be conducted with less than five members of the commission in attendance.

(R.T.M. 12-7-20; R.T.M. 2-2-98 (part); R.T.M. 6-1-92 (part))

2.50.080 Notice of hearing and decision.

A. All notices required under this chapter shall be sent to the complainant and the respondent by registered or certified mail, return receipt requested.

B. In the event a hearing is held, the commission shall render a decision within ten business days of the final day of the hearing. In the event no hearing is held, the commission shall render a decision within thirty days of the receipt of the respondent's waiver of hearing.

(R.T.M. 12-7-20; R.T.M. 2-2-98 (part); R.T.M. 6-1-92 (part))

2.50.090 Report of findings and opinions and recommendations.

A. The ethics commission shall make its report as to a violation of the code of ethics in the form of findings, opinions, and recommendations. Depending on the severity of the violation, the ethics commission's recommendations may include reprimand, suspension, dismissal, or resignation from office.

B. If requested by the respondent and prior to submission of its report, the commission shall state its findings and opinions and recommendations in the respondent's presence in executive session.

C. The commission shall submit its report to the board, commission, or agency to which the respondent is responsible and to the representative town meeting should the respondent be an elected official or an R.T.M. appointee.

D. The person or governmental body receiving the report shall consider the findings and opinions and recommendations of the ethics commission in deciding the disposition to be made of the ethics complaint.

E. The person or governmental body receiving the report shall determine the disposition of the ethics complaint and notify the respondent orally immediately and in writing by certified mail within thirty days of the receipt of the report from the commission.

F. The person or governmental body receiving the report shall also report back to the ethics commission the decided findings and disposition in writing within thirty days of the receipt of the report from the commission.

G. If the respondent is a member of a town employee bargaining unit or board of education employee bargaining unit, the grievance procedures outlined in the bargaining unit's contracts shall take precedence over other procedures outlined in this chapter.

(R.T.M. 12-7-20; R.T.M. 2-2-98 (part); R.T.M. 2-7-94 § II; R.T.M. 6-1-92 (part))

2.50.100 Finances and compensation.

A. The financial needs of the commission shall be funded in the same manner as those of other town boards and commissions listed in the Town of Waterford Code of Ordinances (Section 2.24.010).

B. The members of the ethics commission shall receive no compensation for their services as such but shall be reimbursed for their necessary expenses incurred in the performance of their duties.

(R.T.M. 12-7-20; R.T.M. 2-5-03 (part); R.T.M. 6-1-92 (part))

2.50.110 Effective date and reports.

A. In the event any provision of this chapter is contradictory to any provision of a contract negotiated by an organized bargaining unit, the provisions of such contract shall prevail.

B. In the event any provision of this chapter (other than provisions rendered ineffective as to particular employees by reason of subsection B of this section) is contradictory to any provision of the conflict of interest provisions of the Town of Waterford Code of Ordinances (Section 2.08.050), the provisions of this chapter shall prevail.

C. By September 15th of each year, the ethics commission shall prepare and submit to the board of selectmen and to the R.T.M. an annual report of its actions and recommendations from the preceding fiscal year. Additional reports and recommendations may be submitted by the commission to the board of selectmen and the R.T.M. at any time.

(R.T.M. 12-7-20; R.T.M. 2-2-98 (part); R.T.M. 6-1-92 (part))

2.50.120 Distribution of the code of ethics.

The town clerk shall cause a copy of this code of ethics and any amendments thereto to be distributed to every public official and town employee within thirty days after the enactment of this code of ethics and subsequent amendments. Each public official and town employee elected, appointed, or engaged thereafter shall be furnished a copy before entering upon the duties of the office or employment. Not receiving a copy of this chapter or any amendments thereto or not signing a receipt therefor does not exempt a public official or town employee from the provisions of the code of ethics.

(R.T.M. 12-7-20; R.T.M. 2-2-98 (part); R.T.M. 6-1-92 (part))

Chapter 43
ETHICS, CODE OF

§ 43-1.	Declaration of policy.	§ 43-6.	Former public employees and public officials.
§ 43-2.	Applicability.	§ 43-7.	Ethics Commission.
§ 43-3.	Definitions.	§ 43-8.	Enforcement; penalties for offenses.
§ 43-4.	Public employees and public officials.	§ 43-9.	Distribution of Code of Ethics.
§ 43-5.	Paid consultants.		

**[HISTORY: Adopted by the Annual Town Meeting of the Town of Old Lyme 1-28-2008.
Amendments noted where applicable.]**

GENERAL REFERENCES

Boards, committees and commissions — See Ch. 20.

General provisions — See Ch. 180.

Officers and employees — See Ch. 101.

§ 43-1. Declaration of policy.

- A. Public office is a public trust. In order for our Town government to function most efficiently, the trust of the public is critical. Public policy developed by government officials and employees impacts every citizen and property owner of the Town and, as such, must be consistently based on honest and fair deliberation and decisions. The process of policy formulation and decisionmaking must be free from threats, favoritism, undue influence and even the appearance of impropriety so that the confidence of the public in our Town government is maintained.
- B. By enacting this code, the Town of Old Lyme seeks to affirm its trust in our governmental officials and our Town policies. It will strengthen and increase the confidence of the citizens, business owners and property owners in the integrity of our government.

§ 43-2. Applicability.

- A. This Code shall apply to all public officials, officers and public employees, whether elected and/or appointed, paid or unpaid.
- B. If any provision(s) of this code shall conflict with a current municipal labor agreement or employment contract, the conflicting provisions of such agreement or contract shall supersede. The remaining provisions of this code shall, however, remain in full force and effect in such case.

§ 43-3. Definitions.

As used in this chapter, the following terms shall have the meanings indicated:

BUSINESS — Any entity through which business for profit or not for profit is conducted, including a corporation, partnership, proprietorship, firm, enterprise, franchise, association, organization or self-

employed individual.

BUSINESS WITH WHICH HE OR SHE IS ASSOCIATED — A business of which a public official or public employee or member of his or her immediate family is a director, officer, owner, employee, compensated agent or holder of stock that constitutes 5% or more of the total outstanding stock of any class.

CONFIDENTIAL INFORMATION — Information, whether transmitted orally or in writing, which is obtained by reason of the public position or office held and is of such a nature that it is not at the time of transmission a matter of public record or public knowledge.

CONFLICT OF INTEREST — A public official or public employee has an interest which is in substantial conflict with the proper discharge of his/her duties or employment in the public interest if he/she has reason to believe that he/she or a family member of his/hers will derive a direct monetary gain or suffer direct monetary loss, as the case may be, by reason of his/her official activity. A public official or public employee does not have an interest which is in substantial conflict with the proper discharge of duties in the public interest if any benefit or detriment accrues to him/her as a member of a business, profession, occupation or group to no greater extent than any other member of such business, profession, occupation or group. Specifically, a conflict of interest exists if a public official or public employee or family member of such official or employee has a financial or personal interest in the outcome of any matter under consideration before him/her in his/her official capacity within or before his/her department or a board or commission of which he/she is a member; a public official or public employee accepts employment which will either impair his/her independence or judgment with regard to his/her official duties or require him/her to disclose confidential information acquired by him/her in the course of his/her duties. All public officials, public employees and/or appointed members of the Town government shall seek to avoid even the appearance of impropriety as it relates to this section. Any criminal misconduct will mean a violation of the law as defined in Connecticut General Statutes Titles 53, 53a and other applicable statutes, which include misdemeanors and felonies, as defined therein.

DISTRICT — A district established pursuant to the Connecticut General Statutes § 7-324.

FINANCIAL INTEREST — Any interest with a monetary value of \$100 or more which generates a financial gain or loss of \$100 or more in a calendar year.

GIFT — Anything of value, including entertainment, food, beverage, travel, or lodging, given or paid to a public official or public employee, to the extent that consideration of equal or greater value is not received. A "gift" does not include:

- A. A political contribution otherwise reported as required by law or a donation or payment as described in Subdivision (9) or (11) of Subsection (b) of Connecticut General Statutes § 9-601a, as amended.
- B. Services provided by persons volunteering their time for a political campaign.
- C. A commercially reasonable loan made on terms not more favorable than loans made in the ordinary course of business.
- D. A gift received from:
 - (1) An individual's spouse, fiancé or fiancée;
 - (2) The parent, brother or sister of such spouse or such individual; or
 - (3) The child of such individual or the spouse of such child.
- E. Goods or services that are provided to the Town and which facilitate governmental action or

functions.

- F. A certificate, plaque or other ceremonial award costing less than \$100.
- G. A rebate or discount on the price of anything of value given in the ordinary course of business without regard to the recipient's status.
- H. Printed or recorded informational material germane to governmental actions or functions.
- I. Items of nominal value, not to exceed \$10, containing or displaying promotional material.
- J. An honorary degree bestowed upon a public official or public employee by a public or private university or college.
- K. Food or beverage provided at an event, or the registration or entrance fee to attend such event, in which the public employee or public official participates in said person's official capacity.
- L. Food or beverage provided in the home by an individual who resides in the Town in which the employee or official serves.
- M. Gifts of nominal value not exceeding \$25 tendered on gift-giving occasions generally recognized by the public, including Christmas, Hanukkah, birthdays, the birth or adoption of a child, weddings, confirmations, bar or bat mitzvahs, provided the total dollar value of such gifts from any individual in any calendar year does not exceed \$100.

IMMEDIATE FAMILY — Any spouse, child, parent, fiancée, sibling or dependent relative.

INDIVIDUAL — A natural person.

PAID CONSULTANT — A person, firm or corporation hired by the Town to provide services to the Town for a fee.

PERSON — An individual, sole proprietorship, trust, corporation, union, company, association, firm, partnership, committee, club or other organization or group of persons.

PUBLIC EMPLOYEE — A person employed full or part time by the Town. "Public employee" does not include a public official.

PUBLIC OFFICIAL — An elected or appointed official employed/appointed full- or part-time by the Town, on either a paid or unpaid basis, including a district officer elected pursuant to Connecticut General Statutes § 7-327.

§ 43-4. Public employees and public officials.

- A. Special interest. No public employee or public official shall engage in or participate in any business or transaction, including outside employment with a private business, or have an interest, direct or indirect, that is in conflict with the proper discharge of the employee's or official's responsibilities in the public interest or that would impair the employee's or official's independent judgment or action in the performance of the employee's or official's responsibilities.
- B. Gifts or favors.
 - (1) No public employee or public official shall solicit or accept any gift from any person that, to the employee's or official's knowledge, is interested in any matter within such individual's official responsibility. As used in this subsection, "official responsibility" means the direct administrative or operating authority, whether intermediate or final and whether exercisable

personally or through subordinates, to approve, disapprove or otherwise direct governmental action.

- (2) If a prohibited gift is offered, the public employee or public official shall refuse it, or pay the donor full value of the gift or donate it to a nonprofit organization, provided the employee or official does not take the corresponding tax deduction or credit. Alternatively, the gift may be deemed to be a gift to the Town, provided it permanently remains in the Town's possession.

C. Voting conflicts.

- (1) A public employee or public official shall refrain from voting upon or otherwise participating in any matter on behalf of the Town if the employee or official, or a business with which he/she is associated, or a member of his/her immediate family has a financial interest in the matter, including, but not limited to, the sale of real estate, material supplies, or services to the Town. As used in this subsection, "personal interest" means an interest in any action taken by the Town in which an individual will derive a nonfinancial benefit or detriment but which will result in the expenditure of funds.
- (2) Notwithstanding the prohibition in Subsection C(1) of this subsection and the provisions of this subsection, a public employee or public official may vote or otherwise participate in a matter *that involves a determination of general policy if the employee's or official's interest in the matter is de minimus in nature or shared with a substantial segment of the population of the Town.*

D. Voting restrictions. In addition to the restrictions in Subsection C of this section, a public employee who serves on any governmental body of the Town shall not vote or participate in any matter involving, for the department or program employing such public employee, a) collective bargaining; b) compensation or benefits; c) personnel policies and procedures; d) the budget, other appropriation or capital funding; or e) employment, compensation, benefits or performance of personnel, unless such public employee is permitted to vote or participate pursuant to the provisions of state statutes or Town ordinance. This provision shall not prevent the individual from voting on the Town budget as a whole.

E. Incompatible service.

- (1) No public employee or public official shall appear on behalf of private interests before any board, agency, or committee of the Town for which the employee or official serves.
- (2) No public employee or public official shall represent private interests against the interest of the Town for which the employee or official serves, in any litigation to which the Town is a party.
- (3) The provisions of Subsection E(1) and (2) of this subdivision shall not apply to a public official who receives no compensation for service to the Town other than per diem payments and reimbursement expenses.

F. Public employee or public official nonrestrictions. Nothing in this section shall prohibit or restrict a public employee or public official from:

- (1) Appearing before any board or commission of the Town on the employee's or official's own behalf; or
- (2) *Being a party in any action, proceeding or litigation:*

- (a) In which the Town is a party; and
 - (b) That is brought by or against the public employee or official.
- G. Disclosure of information. No public employee or public official shall disclose or use confidential information concerning the affairs of the Town for the financial interests of the employee, official or others.
- H. Public property use. No public employee or public official shall request, use or permit the use of a vehicle, equipment, facility, material or property, which is owned by the Town for which the employee or official serves, for personal convenience or profit, except when available to the public generally or provided as Town policy for the use of such public employee or public official in the conduct of official business, in which case the public employee or public official may use such vehicle, equipment, facility, or equipment for de minimus personal convenience.
- I. Public contracts. No public employee or public official, or a business with which he/she is associated, or a member of his or her immediate family shall enter into a contract with the Town for which the public employee or public official serves which has a value of \$1,000 or more unless approved by the First Selectman or by the Board of Selectmen if the First Selectman has a conflict.
- J. Financial benefits. No public employee or public official may use the employee's or official's position or office with the Town for which the employee or official serves for the financial benefit of the employee or official, a business with which he or she is associated, or a member of his or her immediate family. The provisions of this subsection shall not prohibit a public employee or public official from receiving compensation for writing, on the employee's or official's own time, a book or article relating to the employee's or official's service for such municipality or district.
- K. Appearances. No public employee or public official shall accept a fee or honorarium for an article, appearance or speech, or for participation in an event, in the employee's or official's capacity, provided the public official or public employee may receive payment or reimbursement for necessary expenses for any such activity in such official's or employee's official capacity.
- L. Solicitation. No public employee or public official, or member of such individual's immediate family or business with which he or she is associated, shall solicit or accept anything of value, including, but not limited to, a gift, loan, political contribution, reward or promise of future employment, based on any understanding that the vote, official action or judgment of the public employee or public official would be influenced thereby.
- M. Political activity. No public employee or public official or candidate for elected office of the Town shall utilize Town funds, supplies, vehicles, or facilities for the purpose of any political activity.

§ 43-5. Paid consultants.

- A. Conflict of interest. No paid consultant of the Town shall represent a private party in any action or proceeding against the Town. This restriction may be waived by the Ethics Commission.
- B. Representation. No paid consultant can represent anyone other than the Town concerning any matter in which the consultant participated personally and substantially as a consultant to the Town.
- C. Confidentiality. No paid consultant shall:
 - (1) Disclose confidential information learned while performing the consultant's duties for the Town; or

- (2) Use such information for the financial interests of the consultant or others.

§ 43-6. Former public employees and public officials.

- A. Six-month limitation. No former public employee or public official shall appear for compensation before any Town board or agency in which the employee or official was formerly employed at any time within a period of six months after termination of the employee's or official's service with the Town without prior approval of the Ethics Commission.
- B. Latter case interest. No former public employee or public official shall represent anyone other than the Town concerning any particular matter in which the employee or official participated personally and substantially while in Town service without prior approval of the Ethics Commission.
- C. Disclosure. No former public employee or public official shall disclose or use confidential information acquired in the course of and by reason of the employee's or official's official duties for financial gain for himself/herself or others.

§ 43-7. Ethics Commission.

- A. Creation and composition of Ethics Commission. There shall be a municipal Ethics Commission composed of five electors of the Town of Old Lyme and at no time shall more than three members be of the same political party. [Amended 7-1-2008; 1-26-2009; 1-27-2020]
- (1) Eligibility. No member of said Commission shall hold or campaign for any public office, be a public official other than as a member of the Commission, or be an officer of Town party committees, as defined in Connecticut General Statutes § 9-601, or officers of political committees required by state law to report to and/or register with the Town Clerk. Any member who, within the last three years prior to receipt of a complaint, shall have held public office or was a candidate for public office for the board or committee or commission involved in that complaint, shall not participate in the investigation or hearing of that complaint.
- (2) Appointment/removal. The initial Ethics Commission shall be appointed by the unanimous vote of the Ethics Formation Committee. The Ethics Formation Committee will conduct an open solicitation of community-minded individuals and create a pool of candidates based upon their citizenship, political affiliations, if any, and business, professional and personal history. Subject to the requirements of this subsection, the Ethics Formation Committee will randomly select and thereafter appoint the above five electors as the Ethics Commission. Thereafter, Commission members shall be appointed and/or vacancies filled by a two-thirds vote of the existing Ethics Commission (appointing authority). Removal from said Commission shall only be by two-thirds vote of the appointing authority or by unanimous vote of the Board of Selectmen. Of the five members of the Ethics Commission initially appointed, three members shall be appointed for the term commencing June 2008 and ending January 31, 2011, and two members shall be appointed for the term commencing June 2008 and ending January 31, 2012. After the stated expiration date of those initial terms, the term of office of all members shall be two years, with two members to be appointed for a term to begin and end on January 31 of the even-numbered years, and three members to be appointed for a term to begin and end on January 31 of the odd-numbered years, provided that each person occupying the position of member of the Ethics Commission on the effective date of this subsection and each member appointed thereafter shall continue in office for the term for which she/he was appointed and until her/his successor is duly appointed and qualifies. If a vacancy occurs, the appointing authority will appoint a member to the Commission to complete the unexpired term. Commission members

may serve without limitations on the number of terms served.

- (3) Alternate members. The Ethics Commission shall select three alternates to include members of different political parties and/or unaffiliated voters. An alternate member(s) may act in the place of an absent or disqualified Ethics Commission member appointed pursuant to § 43-7A(2) upon majority vote of the Ethics Commission.
 - (4) Ombudsman. The Ethics Commission shall select an ombudsman, which ombudsman shall be an elector of the Town who meets eligibility requirements found in § 43-7A(1). The Ethics Commission shall select an ombudsman. The ombudsman shall serve with no defined term of office, but at the pleasure of the Commission. Such ombudsman may be, but shall not be required to be, an alternate member of the Commission or a member of the former Ethics Formation Committee. When any public official, officer, or public employee has a question as to the applicability of any provision of this code to a particular situation or as to the definition of terms used herein, he or she may apply, in writing, to the ombudsman for an advisory opinion. Good faith reliance by such public official, officer or public employee on such advisory opinion shall be considered by the Ethics Commission in any subsequent proceeding brought pursuant to § 43-8.
- B. Meetings of Commission; quorum; minutes. The Commission shall annually elect a chairperson, vice chairperson and secretary from among its members at its first meeting. Meetings shall be held at the call of the Chairman or three members of the Commission and at such other times as the Commission shall determine. The presence of three members at a meeting shall constitute a quorum, except that any meeting whose purpose is to hear a complaint of violation of this code against an official, employee or consultant shall have four members to constitute a quorum. Any action taken by the Commission, other than findings under § 43-8A(7), shall be by a majority vote of the members present and voting. Except as otherwise noted, the rules of Robert's Rules of Order will govern the meetings. The Commission shall only conduct business if a quorum is present. The Commission shall keep minutes of its meetings, which minutes shall be filed with the Town Clerk and be in compliance with the requirements of the Connecticut Freedom of Information Act.¹
- C. Rules of procedure. The Commission may adopt rules of procedure and regulations which it deems necessary to carry out the intent of this code, and the same, and any amendments thereto, shall be filed in the office of the Town Clerk and be available for public inspection. The discussions of the Commission held in executive session are to be confidential. The minutes of the Commission are public information and, unless confidential, will be made available to the public through the Town Clerk's office. Any substantial amendments to this code must be approved at a Town Meeting.
- D. Finances. The financial needs of the Commission, including necessary funds to retain legal counsel for said Commission, shall be funded in the same manner as other Town boards and commissions. It is anticipated that the Town Attorney or his/her designee will serve as counsel to the commission. Once funded, said finances shall not be diminished or reduced during the pendency of any Commission investigation or hearing.

§ 43-8. Enforcement; penalties for offenses.

- A. Investigations and hearings. The Ethics Commission shall have the authority to evaluate, investigate and/or hear written complaints concerning allegations of violations of this code. The complaint shall be on a form prescribed by the Commission and signed under oath by the individual making said

1. Editor's Note: See the Connecticut General Statutes, § 1-200 et seq.

complaint and shall name the person accused (respondent) and shall specify the acts alleged to constitute the violation and when they occurred. Upon the complaint of any person on a form prescribed by the Commission, signed under penalty of false statement, or upon its own complaint, the Commission shall evaluate any alleged violation of this code. It shall also state whether these allegations have been presented to other administrative or judicial authorities. If the individual(s) intentionally makes a false written statement under oath which he does not believe to be true and which statement is intended to mislead a public servant in the performance of his official function, he shall be in violation of this section, in addition to any other penalties provided by law.

- (1) Complaint. Unless the Commission makes a finding of probable cause for a hearing, or unless the respondent requests in writing that the entire record and any hearings be open to the public, the complaint and all information supplied to or received from the Commission during evaluation or investigation shall remain confidential, as specified by provisions of the Connecticut General Statutes, § 1-82a(a), relating to operations of an ethics commission. The provisions of Connecticut General Statutes § 1-82a are incorporated herein.
- (2) Evaluation and acknowledgment. Upon presentation of a complaint to the Commission, it shall evaluate it to decide whether the allegations would constitute a violation if true, and are of sufficient gravity, and whether it would be more reasonable to refer the matter to another administrative or judicial authority. Based on this evaluation, it may, in its discretion, refuse the complaint and return notice to the complainant of its reasons for that action. If it accepts the complaint, acknowledgment of receipt shall be sent to the complainant within five days thereafter, and a copy of the complaint furnished the respondent. The respondent shall be notified that he/she is afforded at least 10 business days to submit any response he/she wishes the Commission to consider before it decides to open a hearing.
- (3) Investigations. If the Commission accepts the complaint, it shall make or cause an investigation to be made, sufficient to decide whether there is probable cause to believe a violation of this code has occurred. The investigation shall be concluded within 90 days. In the conduct of its investigation, the Commission shall have the power to hold hearings, administer oaths, examine witnesses, receive oral and documentary evidence, subpoena witnesses and require the production for examination by the Commission of any books and papers which the Commission deems relevant in any matter under investigation or in question. The provisions of Connecticut General Statutes § 7-148h are incorporated herein. During the investigation, the respondent shall have the right to appear, be represented by counsel, and be heard and offer any information which may tend to clear him/her of probable cause to believe he/she has violated any provision of the Code of Ethics.
- (4) No probable cause. If the Commission finds no probable cause, it shall, within three business days, advise the complainant and the respondent of its finding and a summary of the reasons therefor, and the complaint and the record of investigation shall remain confidential.
- (5) Probable cause. If the Commission finds probable cause by the concurring vote of three of its members, it shall, within three business days after the termination of its investigation, advise the complainant and the respondent of its finding and a summary of the reasons therefor. If there is found such probable cause, the Commission shall make public its finding within five business days after the termination of its investigation, and the entire record of investigation shall become public, with exception for postponement of the release of said record for a period not to exceed 14 days during negotiations for the resolution of the matter by stipulation, agreed settlement or consent order and/or as provided for in § 4-177 of the Connecticut General Statutes as referenced in § 1-82a(e). It shall also, unless resolved as stated above, fix a date for a hearing

on the complaint and shall give notice of that date to the respondent, such date to be not less than 10 days following notice, nor more than 90 days after the finding of probable cause.

- (6) **Hearings.** Hearings shall be open to the public. Oral evidence shall be taken under oath. The respondent shall have the right to be represented by counsel, to present evidence and to examine and cross-examine witnesses. Hearings shall be recorded by a stenographer or a recording device provided by the Commission. If the Commission does not provide a stenographer, the complainant or respondent may employ a stenographer at his/her own expense. If a transcript is made, a copy shall be made available to the other party upon payment of 1/2 the cost of obtaining the transcript.
 - (7) **Finding.** No finding of violation of this code shall be made except upon concurring vote of four members of the Commission. The Chairman shall render the finding of the Commission within 30 days after conclusion of the hearing. A copy of the finding shall be sent to the complainant, the respondent, and the Town Clerk.
 - (8) **Board-initiated complaints.** Upon a concurring vote of three or more members, the Commission may initiate its own complaint. In doing so, it is not required that the complaint be sworn.
 - (9) **Advisory opinions.** Reliance by a Town official, officer or employee on an advisory opinion issued by the ombudsman pursuant to § 43-7A(4) shall be considered by the Ethics Commission in any proceeding brought pursuant to this section.
- B. **Penalties.** Violation of any provision of this code shall constitute grounds for, and may be punished by, a) public censure and reprimand; b) in the case of a public employee, recommendations to the Board of Selectmen ranging from suspension from employment with or without pay up to dismissal from employment; c) a civil penalty of not more than \$250 per violation; and/or d) restitution of any pecuniary benefits received because of the violation committed. The Commission will also retain the authority to refer appropriate cases to other venues for proper adjudication (e.g., the police, etc.). At no time will the Commission have the authority to remove elected officials from office.
- C. **Appeals.** The respondent shall have the right to appeal the findings of the Commission within 30 days of receipt of its findings. Said notice of appeal shall be sent by mail or be hand-delivered to the First Selectman. The Appellate Board will consist of the Board of Selectmen. To the extent that the First Selectman exercises his/her right pursuant to Connecticut General Statute § 7-12a to sit as an ex officio member of the Ethics Commission, the First Selectman will be disqualified from sitting on the Appellate Board. In the event that the complaint involves one or more members of the Board of Selectmen and/or the First Selectman is disqualified, the remaining selectman/selectmen, or the Chairman of the Ethics Commission in the absence of an available selectman, shall appoint an attorney(s) to sit on said three-person Appellate Board. The Appellate Board will not review the case de novo. If, after hearing the appeal, a majority of the Appellate Board determines that the finding appealed was arbitrary, capricious or an abuse of discretion, the appeal shall be sustained; otherwise, the appeal shall be denied. The respondent shall have the right to a further appeal to Superior Court subject to the provisions of the Connecticut General Statutes, if any.

§ 43-9. Distribution of Code of Ethics.

The Board of Selectmen shall cause a copy of this code of Ethics to be distributed to every public official and public employee within 90 days after the enactment of this code of Ethics. Each public official and public employee elected, appointed or engaged thereafter shall be furnished a copy of this code by the Town Clerk before entering upon the duties of the office or employment. Any amendments to this code

shall similarly be distributed by the Board of Selectmen within 90 days thereof. At the discretion of the Board of Selectmen and its designees, paid consultants shall be furnished a copy of this code. A signed receipt of all copies shall be returned to the Town Clerk and retained on file. Not receiving a copy of this code or any amendments thereto or not signing a receipt therefor does not exempt a public official or public employee from the provisions of the Code of Ethics. This Code shall be made available to individual(s), partnership(s), corporation(s) or other entities doing business with the Town and posted on the Town's website.