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OFFICE OF STATE ETHICS
By _____

OFFICE OF STATE ETHICS

DOCKET NUMBER 2018-41 : OFFICE OF STATE ETHICS
: :
IN THE MATTER OF A : 18-20 TRINITY STREET
: :
COMPLAINT AGAINST : HARTFORD, CT 06106
: :
LISA SECONDO : APRIL 26, 2019

STIPULATION AND CONSENT ORDER

Pursuant to the Code of Ethics, General Statutes §§ 1-79, *et seq.*, Thomas Jones, Ethics Enforcement Officer, filed a Complaint against Lisa Secondo (“Secondo” or “Respondent”), alleging violations of the Code of Ethics for Public Officials. Following a preliminary investigation by the Enforcement Division of the Office of State Ethics (“OSE”), the OSE finds that there is probable cause to believe that the Respondent violated the Code of Ethics as further set forth herein.

The OSE and the Respondent have agreed to enter into this Consent Order following the issuance of the Complaint dated December 18, 2018 (the “Complaint”), but without any adjudication of any issue of fact or law herein.

I. STIPULATION

The Acting Ethics Enforcement Officer and Respondent stipulate to the following facts:

1. During 2018, until she retired from state service on or about August 29, 2018, the Respondent held the position of Policy Development Coordinator at the Office of Policy Management (“OPM”), working in the Criminal Justice Policy & Planning Division (“CJPPD”).

2. At all times relevant hereto, the Respondent was a “state employee” as that term is defined by General Statutes § 1-79 (13).

3. As a part of her duties for the state as Policy Development Coordinator, the Respondent was primarily responsible for securing federal Justice Assistance Grants on behalf of the state, and subsequently administering such funding to sub-grantees.

4. During 2018, the Respondent drafted and submitted a grant proposal that would have provided approximately \$900,000 in federal grant funds to the Department of Mental Health and Addiction Services (“DMHAS”), beginning in September 2018.

5. As part of the grant proposal she drafted and submitted, the Respondent included a budget of over \$80,000 for the creation of a temporary worker re-hire position at DMHAS, which position the Respondent intended to fill herself, following her retirement.

6. The Respondent did not have any instruction or permission from OPM or CJPPD to draft and submit a grant proposal for DMHAS that included herself as an intended beneficiary.

7. General Statutes § 1-84 (c) states in pertinent part:

No public official or state employee ... shall use his public office or position... to obtain financial gain for himself... or a business with which he is associated.

8. By drafting and submitting a grant proposal that included future employment and benefits for herself, the Respondent used her position to attempt to obtain financial gain for herself, in violation of General Statutes § 1-84 (c).

9. Pursuant to General Statutes §1-86 (a):

Any public official or state employee . . . who, in the discharge of [her] official duties, would be required to take an action that would affect a financial interest of . . . such official’s or employee’s spouse . . . has a potential conflict of interest. Under such circumstances, such official or employee shall, in the case of either a substantial or potential conflict of interest, prepare a written statement signed under penalty of false statement describing the matter requiring action and the nature of the conflict and deliver a copy of the statement to such official’s or employee’s immediate superior, if any, who shall assign the matter to another employee,

or if such official or employee has no immediate supervisor, such official shall take such steps as the Office of State Ethics shall prescribe or advise.

10. The Respondent's drafting and submitting of a grant proposal, of which she was an intended beneficiary, presented a potential conflict of interest.

11. The Respondent did not prepare a written statement signed under penalty of false statement describing the matter requiring action, and the nature of the conflict, and deliver a copy of the statement to such official's or employee's immediate superior.

12. By failing to prepare and deliver a written statement to her superior as described above, the Respondent violated General Statutes § 1-86 (a).

13. The Respondent admits to the foregoing facts and admits that the above facts constitute violations of the Code of Ethics.

II. RESPONDENT'S POSITION

1. Respondent states that she collaborated with DMHAS in drafting and submitting the grant proposal at issue.

2. Respondent states that, at the time she was drafting the grant proposal at issue, she believed that she was eligible to be a temporary worker re-hire once she retired from state service.

3. Respondent states that her failure to inform her superiors about her intention to benefit from the grant at issue was an oversight, and not intentional.

4. Respondent states that, at the time of the conduct at issue, she was unaware of her obligations under General Statutes § 1-86 (a).

5. Respondent states that she ultimately never received any money or thing of value as a result of the conduct set forth herein.

III. JURISDICTION

1. The Ethics Enforcement Officer is authorized to investigate the Respondent's

acts as set forth herein, and to enter into this Stipulation and Consent Order.

2. The provisions of this Stipulation and Consent Order apply to and are binding upon the Respondent.

3. The Respondent hereby waives all objections and defenses to the jurisdiction of the Ethics Enforcement Officer over matters addressed in this Stipulation and Consent Order.

4. The Respondent waives any rights she may have under General Statutes §§ 1-80, 1-82, 1-82a, 1-87 and 1-88, including the right to a hearing or appeal in this case, and agrees with the Ethics Enforcement Officer to an informal disposition of this matter as authorized by General Statutes § 4-177 (c).

5. The Respondent consents to jurisdiction and venue in the Connecticut Superior Court, Judicial District of Hartford, in the event that the State of Connecticut seeks to enforce this Stipulation and Consent Order. The Respondent recognizes that the Connecticut Superior Court has the authority to specifically enforce the provisions of this Stipulation and Consent Order, including the authority to award equitable relief.

6. The terms set forth herein are in addition to, and not in lieu of, any other existing or future statutory, regulatory, or other legal obligation that may be applicable to the Respondent.

7. The Respondent understands that she has a right to counsel and has been represented by counsel in connection with this Stipulation and Consent Order.

IV. ORDER

NOW THEREFORE, pursuant to General Statutes § 4-177 (c), the Office of State Ethics hereby ORDERS, and the Respondent agrees, that:

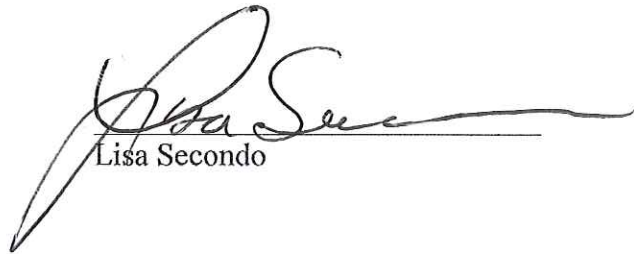
1. Pursuant to General Statutes § 1-88 (a) (1), the Respondent will cease and desist from any future violation of General Statutes § 1-84 (c).

2. Pursuant to General Statutes § 1-88 (a) (1), the Respondent will cease and desist from any future violation of General Statutes § 1-86 (a).


3. Pursuant to General Statutes § 1-88 (a) (3), the Respondent will pay a civil penalty to the state in the amount of five thousand dollars (\$5,000.00).

WHEREFORE, the Ethics Enforcement Officer and Respondent, Lisa Secondo, hereby execute this Stipulation and Consent Order dated April 26, 2019.

Dated: 05/01/2019


Lisa Secondo

Dated: 5/1/19


Mark E. Wasielewski
Acting Ethics Enforcement Officer
Office of State Ethics
18-20 Trinity Street
Hartford, CT 06106
(860) 263-2398