**GUIDANCE & BACKGROUND ON CONFLICTS OF INTEREST**

The following information is intended to help Connecticut Balance of State (CT BOS) Steering Committee members to understand the CT BOS Conflicts of Interest policy and to propose a simple form that Steering Committee members will be required to use to disclose any conflicts of interest - see page 3.

A conflict of interest is a situation in which a person has competing commitments, obligations, duties or goals. Such situations can result in real or perceived lack of independence or impartiality. A conflict of interest occurs, for example, when a Steering Committee member, a member of his/her immediate family, or his/her business associate has an interest, financial or otherwise, whether as employee, owner, fiduciary, consultant, Board member, or supplier or recipient of goods or services, in any program or agency that receives Continuum of Care funds.

HUD’s Conflict of Interest rule does not define "Immediate Family'' but the term can be understood to mean, at a minimum, a parent, spouse, domestic partner, child, or sibling. HUD’s Conflict of Interest rule prohibits a Steering Committee member from participating in discussions or influencing decisions concerning the award of a grant or other financial benefits to an organization in which the Steering Committee member has an interest.[[1]](#footnote-1)

Common conflicts of interest may include situations such as the following[[2]](#footnote-2):

* A Steering Committee member is employed by an agency that receives CoC funds as a recipient, subrecipient or contractor.
* The spouse of a Steering Committee member provides consulting services to or is on the Board of an agency that is seeking CoC funds.
* A Steering Committee member is employed by an organization that has an investment in one or more CoC funded projects (e.g., a government agency or intermediary organization that provides match, capital funding, or tax credit syndication).
* The child of a Steering Committee member is receiving services from a CoC funded project.
* A Steering Committee member is receiving housing assistance from a CoC funded project.
* A Steering Committee member owns property that receives rental payments from a CoC recipient.
* The sibling of a Steering Committee member owns a business that provides goods or services to a CoC funded project.
* A Steering Committee member is employed by an agency that has submitted a Grievance.

Whether or not a Steering Committee member has a conflict of interest may change over time or be dependent on the particulars of a given decision being made. If a Steering Committee member has a conflict of interest, that member should disclose his or her interest promptly, for example, via use of the form on page 3.

**CT BOS CONFLICT OF INTEREST POLICY**

***From CT BOS Governance Charter, Page 19:***

**Article VIII – Conflict of Interest & Code of Conduct
Section 1:** CT BOS CoC members must conduct themselves at all times with the highest ethical standards. Members are required to follow the CT BOS CoC Code of Conduct. (See Appendix 1.) Conflicts of interest, and even the appearance of a conflict of interest, must be avoided.
**Section 2:** All individuals and representatives of organizations who have, are seeking, or considering seeking funds under the endorsement of the CoC must adhere to the following:

1. He or she shall disclose to the CoC any conflict or appearance of conflict which may or could be reasonably known to exist.
2. Each CT BOS Steering Committee member is required at least annually to complete either 1) a written attestation of having no current conflicts of interest that would prevent him/her from making decisions about CoC project funding and ranking; or 2) a written disclosure of any such conflicts of interest.
3. He or she shall not vote on any item that would create a conflict or appearance of conflict.
4. He or she shall not participate in or influence discussions or resulting decisions concerning the award of a grant or other financial benefits to the organization that the member represents.
5. He or she shall not lobby or seek information from any other member of the Continuum if such action would create a conflict or the appearance of a conflict.

**INSTRUCTIONS:**

Each CT BOS Steering Committee member is required at least annually to complete the form that follows on page 3. Please complete either the attestation or the disclosure section and return to a member of the CT BOS team or submit by email to www.ctbos.org. If your agency receives any CoC funds (even as a sub-recipient or contractor), you must complete the “Disclosure of Interest” section. The CT BOS Co-Chairs, CT BOS Team, and HUD Field Office are available to discuss any questions or concerns you may have regarding conflicts of interest.

**ATTESTATION OF NO CONFLICT OF INTEREST**

I, \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, as a member of the CT BOS Steering Committee, affirm that I have reviewed the CT BOS Conflict of Interest Policy and currently hold no conflicts of interest that would prevent me from making decisions about CoC project funding and ranking. If a conflict arises, I will recuse myself from the discussion and promptly inform a committee Chair.

Signature:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Printed Name:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**DISCLOSURE OF CONFLICTS OF INTEREST**

I, \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, as a member of the CT BOS Steering Committee,

 hereby disclose that I have an interest in the following programs or agencies, and will follow the COI policy regarding recusal:

Name(s) of agency/project in which I have an interest - if your interest relates to numerous projects, you may simple indicate “numerous”:

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Signature:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Printed Name:

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**Appendix I: CT BOS CoC Code of Conduct**

This CT BOS CoC Code of Conduct represents the CoC’s commitment to high standards. The following standards should be regarded as minimum expectations for conduct. Members will act in accordance with and maintain the highest standards of professional integrity, impartiality, diligence, creativity and productivity. CoC business will be conducted in a manner that reflects the highest standards and in accordance with federal, state, and local laws and regulations.

**1. Compliance with Policies**

A. Members will conduct the CT BOS CoC business in accordance with the by-laws of CT BOS CoC including conflict of interest and information management policies.

**2. Conflict of Interest**

A. Members must act in the best interests of the organization and avoid situations where their personal interests or relationships interfere with acting in good faith on behalf of the CT BOS CoC.

B. Members may not engage in activities that are in conflict with the interests of the CT BOS CoC or that may negatively impact the reputation of the CoC.

C. Members are required to follow Article VIII of the CT BOS CoC Bylaws regarding conflict of interest and code of conduct.

**3. Confidentiality**

A. Members must maintain the highest standards of confidentiality regarding information obtained directly or indirectly through their involvement with the CT BOS CoC. This includes but is not limited to information about members and their organizations and funded agencies. Members must also avoid inadvertent disclosure of confidential information through casual or public discussion, which may be overheard or misinterpreted.

**4. Impartiality**

A. Member agencies shall act impartially and with integrity.

Members will:

* Not knowingly being a party to or condoning any illegal or improper activity.
* Not directly, or indirectly, seek personal gain which would influence, or appear to influence, the conduct of their duties.
* Not exploit CoC professional relationships for personal or professional gain
* Be alert to the influences and pressures that interfere with the professional discretion and impartial judgment required for the performance of members.
1. CFR 24 578.95 § 578.95 Conflicts of Interest:<https://www.hudexchange.info/resource/2035/coc-program-interim-rule-formatted-version/> [↑](#footnote-ref-1)
2. HUD does not specifically define conflicts of interests in these particular ways, rather these are examples of common circumstances that arise in CoCs that may involve a conflict of interest. [↑](#footnote-ref-2)