



State of Connecticut  
Department of Developmental Services  
**DDS ETHICS STATEMENT**  
**ETHICS WITHIN THE DDS MISSION**



**DDS MISSION STATEMENT**

The mission of the Department of Developmental Services is to partner with the individuals we support and their families, to support lifelong planning and to join with others to create and promote meaningful opportunities for individuals to fully participate as valued members of their communities.

**DDS COMMITMENT TO ETHICS AND THE MISSION**

DDS employees are officers, employees, and agents of the State of Connecticut and have positions of trust and responsibility that require them to observe the highest ethical standards. Strict compliance with the provisions of the following laws, regulations and policies is an essential aspect of employment in the Department of Developmental Services:

- Sections 1-79 to 1-90a, inclusive of the Connecticut General Statutes
- [Code of Ethics for Public Officials](http://www.ct.gov/ethics), as amended, available on the Office of State Ethics website at <http://www.ct.gov/ethics>, listed under *Statutes and Regulations*.
- Statutes, regulations, and policies concerning political activity of employees in the classified service which are outlined in detail in the Department of Administrative Services' General Letter No. 214-D, available at <http://www.das.state.ct.us/HR/om/GL214D.pdf>

Copies of these materials can be obtained from the DDS Central and Regional Human Resources Offices. The ethics rules for state employees are contained in sections 1-84 to 1-86, inclusive, of the Connecticut General Statutes. These sections of state statute are intended to prevent a state employee from using his or her public position or authority for personal or financial benefit. A guide summarizing the main points of the Code can be found on the Office of State Ethics website (<http://www.ct.gov/ethics>) under [Plain-language Guides](#), in [Public Officials and State Employees Guide to the Code of Ethics](#). For the full text of the Code of Ethics for Public Officials, with all conditions and exceptions, consult Chapter 10, Part I of the Connecticut General Statutes. For informal and formal interpretations of the Code, employees should contact the Office of State Ethics. DDS employees should become familiar with all of the provisions of the laws, regulations and policies regarding their ethical obligations as an employee of DDS and should not rely solely on the following summary. At the direction of former Governor Rell, all state agencies have designated an Ethics Liaison Officer as an information resource for employees and to assist in addressing ethics questions and issues.

The DDS Ethics Liaison Officer is:

M.J. McCarthy, J.D., P.A., Director, Legal & Government Affairs  
460 Capitol Avenue, Hartford, CT 06106  
Tel. (860) 418-6170, (860) 418-6085  
e-mail: [MJ.McCarthy@ct.gov](mailto:MJ.McCarthy@ct.gov)

**ETHICS CODE PROHIBITIONS**

In general, section 1-84 of the Connecticut General Statutes prohibits DDS employees from:

1. accepting outside employment that will impair the employee's independence of judgment as to official duties or require or induce disclosure of confidential information gained while employed at DDS.
2. using the employee's public position or confidential information gained while employed at DDS for the financial benefit of the individual, his or her family, or an "associated business".
3. soliciting or accepting anything of value based on an understanding that an employee's official action will be influenced thereby.
4. entering into contracts with the state valued at \$100 or more, unless the contract has been awarded through an open and public process.

5. accepting any gift or gifts from a person known to be a registered lobbyist or lobbyist's representative. Lobbyist information is available on the Office of State Ethics website in the [Communicator Lobbyist Guide to the Code of Ethics](#) and the [Client Lobbyist Guide to the Code of Ethics](#). For the full text of the Code of Ethics for Lobbyists, with all conditions and exceptions, consult Chapter 10, Part II of the Connecticut General Statutes.
6. accepting any gift or gifts (other than tangible items with a value of less than \$10.00 and not more than a total value of \$50.00 from one source in a year) from any person doing business with, seeking to do business with, or directly regulated by DDS.
7. accepting any fee or honorarium given in return for a speech or appearance made or article written in one's official capacity. Employees are permitted to accept necessary expenses incident to such activity. Necessary expenses are limited to necessary travel expenses; lodging for the nights before, of, and after the appearance, speech or event; meals; and any related conference or seminar registration fees. Such expenses do not include the payment for expenses for an employee's family or other guests. Employees must file a report on form ETH-NE, disclosing such transaction with the Office of State Ethics within thirty (30) days of being paid or reimbursed. The report should be signed by the recipient under penalty of false statement. Employees need not file a report when the expenses were provided by the federal government or another state government. If an employee does not file such report within thirty (30) days, either intentionally or due to gross negligence, the employee shall return the payment or reimbursement and may be subject to a civil penalty of up to \$10,000. (NOTE: Additional exceptions include "gifts to the state" and plaques and awards not exceeding \$100 in value).
8. representing a client for compensation, or being a member of a business, which represents a client for compensation, before DDS.
9. interfering with or solicitation of lobbying contracts for any person.

### **ADDITIONAL DDS ETHICS POLICIES**

The Code of Ethics for Public Officials establishes the minimum ethics standards for state employees. DDS Work Rules, which may be accessed through the DDS website at <http://www.ct.gov/dds/cwp/view.asp?a=2781&q=332964>, establish additional ethics standards including a blanket prohibition against accepting gifts from DDS consumers or their families.

### **SUBSTANTIAL AND POTENTIAL CONFLICTS OF INTEREST**

In addition, sections 1-85 and 1-86 of the Connecticut General Statutes provide direction when an employee is dealing with a substantial or a potential conflict of interest. Under section 1-85 of the Connecticut General Statutes, a state employee has a substantial conflict of interest with the proper discharge of the employee's duties or employment in the public interest, if the employee has reason to believe or expect that he or she, his or her spouse, a dependent child, or a business with which the employee is associated will derive a direct monetary gain or suffer a direct monetary loss, by reason of the employee's official activity. A state employee does not have a substantial conflict of interest with the proper discharge of the employees duties, if any benefit or detriment accrues to the employee, his or her spouse, a dependent child, or a business with which the employee, his or her spouse or a dependent child is associated as a member of a profession, occupation or group to no greater extent than any other member of such profession, occupation or group. A state employee who has a substantial conflict may not take official action on the matter.

Under section 1-86 of the Connecticut General Statutes, a state employee has a potential conflict of interest, if in the discharge of the employee's official duties, the employee would be required to take an action that would affect a financial interest of the employee, the employee's spouse, parent, brother, sister, child or the spouse of a child or a business with which the employee is associated, other than an interest that is not distinct from that of a substantial segment of the general public, or an interest in substantial conflict with the performance of official duties, as defined in section 1-85. Under these circumstances, the employee shall, in the case of either a substantial or potential conflict, 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 the employee's immediate superior, who shall assign the matter to another employee, or if the employee has no immediate superior, the employee shall take steps as the Office of State Ethics shall prescribe or advise.

## **AFTER LEAVING DDS**

All employees of DDS are required to comply with sections 1-84a and 1-84b of the Connecticut General Statutes that restrict certain activities after leaving employment with DDS.

## **POLITICAL ACTIVITY BY DDS EMPLOYEES**

Section 5-266a of the Connecticut General Statutes and the regulations promulgated thereunder as well as federal law govern political activities of classified state employees. Department of Administrative Services' General Letter No. 214-D sets out in detail, the statutes, regulations and policies concerning political activity of employees in the classified service. General Letter No. 214-D can be accessed at

<http://www.das.state.ct.us/HR/om/GL214D.pdf>.

In general, no employee of DDS shall:

1. engage in political activity while on duty or within any period during which the employee is expected to perform services while being paid by the State of Connecticut.
2. use his or her official authority or influence for the purpose of interfering with or affecting the result of an election, or a nomination for office, or directly or indirectly coerce, attempt to coerce, command, or advise a state or local officer or employee to pay, lend, or contribute anything of value to a party, committee, organization, agency, or person for a political purpose.
3. campaign for a candidate in an election by making speeches, writing on behalf of the candidate, or soliciting votes in support of or in opposition to a candidate, or make contributions of time and money to political parties, committees, or other agencies while on duty or within any period during which such employee is expected to perform services for which the employee receives compensation from the state.
4. utilize state funds, supplies, vehicles, or facilities to secure support for or oppose any candidate, party, or issue in a political partisan election.
5. when the employee is seeking or holding municipal office, or seeking state office; engage in political activity or in the performance of the duties of the municipal office while on state duty or within any period of time during which the employee is expected to perform services for which the employee receives compensation from the state.

## **ETHICS AND DDS CONTRACTORS**

Provisions of the Code of Ethics apply to independent contractors doing business with DDS. DDS established the [Independent Contractor/Consultant Ethics Compliance Protocol](#) in 2000. The protocol requires the reporting of certain transactions and activities to the DDS Ethics Committee for review. These include: (1) hiring of an "immediate relative" of a current administrator or employee of the contractor; (2) acceptance of expense payments from a consumer or the consumer's family to accompany a DDS consumer to an event or vacation; and (3) "related party transactions" engaged in by the contractor. The DDS [Independent Contractor/Consultant Ethics Compliance Protocol](#) and related forms may be obtained through the DDS Ethics Liaison Officer.

The provisions of the DDS Ethics Statement shall apply to all of the employees of DDS in their duties and responsibilities to the agency, as well as in their duties as a designee of DDS on any board or commission. All prospective DDS employees will receive a Summary of the Code of Ethics and are expected to review the essential provisions and consider any possible conflicts of interest before accepting an offer of employment. DDS employees leaving state service will be provided information about ethics code provisions that are applicable to post-state employment.

It is strongly suggested that employees avoid situations which are ethically questionable or which may give the appearance of being ethically questionable. An employee, who has a question or is unsure about the provisions of this policy, should contact the DDS Ethics Liaison Officer to review areas of concern and obtain information and assistance.

The DDS Ethics Statement is developed and filed in accordance with section 1-83(a)(2) of the Connecticut General Statutes.

*Terrence W. Macy, Ph.D.*

Commissioner

*Joseph W. Drexler, Esq.*

Deputy Commissioner

Reissued: May 19, 2014