



State of Connecticut  
Department of Developmental Services

**DDS**

M. Jodi Rell  
Governor

Peter H. O'Meara  
Commissioner

**DDS ETHICS STATEMENT**  
**ETHICS WITHIN THE DDS MISSION**

Kathryn du Pree  
Deputy Commissioner

**DDS MISSION STATEMENT**

The Mission of the Department of Developmental Services is to join with others to create the conditions under which all people with mental retardation experience:

*Respect and dignity*  
*Presence and participation in Connecticut town life*  
*Good relationships with family members and friends*  
*Opportunities to make choices in the pursuit of a personal future*  
*Opportunities to develop and exercise competence*

**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:

- Connecticut General Statutes Sections 1-79 to 1-89a, inclusive
- Code of Ethics for Public Officials, as amended, available on the Ethics Commission website at <http://www.ct.gov/ethics>, listed under *Statutes and Regulations*.
- Statutes, regulations, and policy 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 ethical rules for state employees are contained in Connecticut General Statutes Sections 1-84 through 1-86. Basically, these sections are intended to prevent a state employee from using public position or authority for personal financial benefit. A guide summarizing the main points of the Code can be found on the Ethics Commission website (<http://www.ct.gov/ethics>) under *Statutes and Regulations*, then *Code for Public Officials*. For the full text, with all conditions and exceptions, consult Connecticut General Statutes, Chapter 10, Part I. For informal and formal interpretations of the Code, employees should contact the Ethics Commission. DDS employees should become familiar with all of the provisions of the law, regulation and policy regarding their ethical obligations as an employee of DDS and not solely rely on the following summary. At the direction of 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:

James P. Welsh, Director, Legal & Government Affairs  
460 Capitol Avenue, Hartford, CT 06106  
Tel. (860) 418-6059, (860) 418-6085  
e-mail: [James.Welsh@po.state.ct.us](mailto:James.Welsh@po.state.ct.us)  
State Ethics Commission  
18-20 Trinity Street  
Hartford, CT 06106-1628  
Tel. (860) 566-4472, FAX (860) 566-3806  
Internet: [www.ct.gov/ethics/](http://www.ct.gov/ethics/)

## **ETHICS CODE PROHIBITIONS**

In general, Connecticut General Statutes Section 1-84 prohibits DDS employees from:

1. accepting outside employment, which will impair independence of judgment as to official duties or require or induce disclosure of confidential information gained while employed at DDS.
2. use of 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 one'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 one known to be a registered lobbyist or lobbyist's representative. Lobbyist information is available on the Ethics Commission website at <http://www.lims.state.ct.us/public/reports.asp>.
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. acceptance of any fee or honorarium given in return for a speech or appearance made or article written in one's official capacity. Employees are permitted, however, 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 one's family or other guests. Employees must file a report, form ETH-NE, disclosing such transaction with the Ethics Commission 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 another 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 and State Employees establishes the minimal ethics standards for state employees. DDS Work Rules, which may be accessed through the DDS website, establish additional standards including a blanket prohibition against accepting gifts from DDS consumers or their families.

## **SUBSTANTIAL AND POTENTIAL CONFLICTS**

In addition, Connecticut General Statutes Sections 1-85 and 1-86 of the Ethics Code provide direction when an employee is dealing with a substantial or a potential conflict. You have a substantial conflict of interest under Connecticut General Statutes Section 1-85 and may not act under any circumstances if faced with taking official action, which you can expect will directly affect your financial interests distinct from others in your occupation or group. However, if your financial interest is shared by the other members of your profession, occupation, or group, you proceed under the rules of Connecticut General Statutes Section 1-86. Under Connecticut General Statutes Section 1-86, if the financial effect on you, a family member, or an associated business is insignificant, or no different than that of a substantial segment of the general public, you may act without having to follow Connecticut General Statutes Section 1-86 procedures.

## **AFTER LEAVING DDS**

All employees of DDS are required to comply with Connecticut General Statutes Sections 1-84a and 1-84b, which restricts certain activities after leaving employment with DDS.

## **POLITICAL ACTIVITY BY DDS EMPLOYEES**

Connecticut General Statutes Section 5-266a, and the regulations promulgated there under 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 policy concerning political activity of employees in the classified service. You can access the letter at <http://www.das.state.ct.us/HR/om/GL214D.pdf>.

In general, no employee of DDS shall:

1. engage in political activity 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 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 and making 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 he 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. in seeking or holding municipal office or seeking state office, engage in political activity or in the performance of the duties of such office while on state duty or within any period during which such employee is expected to perform services for which he 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 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 from DDS on any board or commission. All prospective DDS employees will receive a Summary of the Code of Ethics and be expected to review the essential provisions and consider any possible conflicts of interest before accepting employment. DDS employees leaving state service will be provided information about ethics code provisions which are applicable 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 is instructed to 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.

**Peter H. O'Meara**

**Kathryn duPree**

Commissioner

October 1, 2007\* (\* reissued with Agency Name Change)

Deputy Commissioner

October 1, 2007\*

Phone: Voice 860 418-6000 TDD 860 418-6079 Fax: 860-418-6001

460 Capitol Avenue Hartford, Connecticut 06106

An Equal Opportunity Employer

