## **Procedure No.:** I.G.PR.009 **Issue Date:** July 1, 2000

#### **Subjec**t**:** **Independent Contractor or Consultant** **Effective Date:** Upon release

#### **Ethics Compliance Protocol Revision Date:** November 14, 2016

# **Section:** Contracted Services **Approved**:/s/Jordan A. Scheff,

# Acting Commissioner/SLT

**Policy Statement**

The Department of Developmental Services (DDS) provides consistent information to independent contractors and consultants regarding ethical and appropriate practices required for (1) hiring a relative by an independent contractor or consultant; (2) staff expense payment for an activity or event; (3) a related party transaction; and (4) other activities where there are potential ethics’ conflicts. An open and ethics-driven process for contracting and purchasing allows DDS to conform to federal and state law and Medicaid requirements.

1. **Purpose**

To establish an internal department process to address compliance by independent contractors or consultants with the requirements of the Connecticut General Statutes and the Office of State Ethics’ (and its predecessor agency, the State Ethics Commission) Advisory Opinions in regards to ethics and ethical behavior as it relates to a contractor’s or consultant’s use of Department of Developmental Services (DDS) contracted funding and the authority granted to a contractor or consultant in contracts with DDS.

# **B. Applicability**

This procedure applies to all DDS independent contractors and consultants. This procedure’s provisions do not apply to individuals and their families using the [self-determination](http://www.ct.gov/dds/cwp/view.asp?a=2050&q=381858) service option.

1. **Definitions**

“Advisory Opinion” meansan official written ruling by the Office of State Ethics interpreting Connecticut General Statutes relating to ethics.

“Department” or “DDS” means Connecticut’s Department of Developmental Services.

“DDS Ethics Committee for Independent Contractors and Consultants” means the department’s internal committee that is solely responsible to review and approve or disapprove requests by referencing ethics interpretations as detailed in the State Ethics Commission’s Advisory Opinions Nos. 99-14, 99-15, 99-17 and 99-19 that pertain to the use of state funds and an individual’s funds.

“Immediate family” means any spouse, child or dependent relative who resides in an independent contractor’s or consultant’s household (Section 1-79(6) of the Connecticut General Statutes).

“Independent contractor” meansa person, sole proprietorship, corporation, limited liability company, association, firm, partnership, or other organization or group of persons that is qualified or is in the process of being qualified by the department to provide services to an individual who has been made eligible by the department for funding or services. Any employee of an independent contractor is subject to the provisions of this ethics protocol.

“Independent consultant” or “consultant” means a private entity or practitioner which contracts with the department to provide professional advice or services in a particular area such as psychiatry, nursing, occupational therapy or physical therapy. Any employee of an independent consultant is subject to the provisions of this ethics protocol.

“Individual” means a person who has been determined eligible for funding or services from DDS.

“Office of State Ethics”, formerly known as the “State Ethics Commission”, means the state agency charged with the responsibility to interpret and enforce, among other things, the Code of Ethics for Public Officials, (Section 1-79 et seq. of the Connecticut General Statutes) and its statutory jurisdiction of independent contractors and consultants. (Section 1-86e of the Connecticut General Statutes)

“Related parties” as defined in section 17-313b-1(19) of the Regulations of Connecticut State Agencies, means “persons or organizations related through marriage, ability to control, ownership, family or business association. Past exercise or influence or control need not be shown, only the potential or ability to directly or indirectly exercise influence or control.”

“Related party transaction” means any business or financial deal or arrangement between two parties who are joined by a personal, financial or professional relationship.

1. **Implementation**
2. DDS Ethics Committee for Independent Contractors and Consultants
3. The DDS Ethics Committee for Independent Contractors and Consultants is responsible to review and approve or disapprove independent contractors’ or consultants’ requests for a decision on (1) hiring a relative by an independent contractor or consultant; (2) staff expense payment for an activity or event; (3) a related party transaction; or (4) other activities where there is a potential for an ethics’ conflict in accordance with:
4. [**ADVISORY OPINION NO. 99-14**](http://www.ct.gov/ethics/cwp/view.asp?a=2305&q=301328) Application Of Conn. Gen. Stat. §1-86e To The Hiring Of Relatives By Independent Contractors And Their Staff;
5. [**ADVISORY OPINION NO. 99-15**](http://www.ct.gov/ethics/cwp/view.asp?a=2305&q=301330) Application Of Ethics Rules To Acceptance Of Expense Payments To Accompany Department Of Mental Retardation Client To Event;
6. [**ADVISORY OPINION NO. 99-17**](http://www.ct.gov/ethics/cwp/view.asp?a=2305&q=301334) Application Of Gift Restrictions to Employees Of Private Agencies Under Contract with Department Of Mental Retardation**;** and
7. [**ADVISORY OPINION NO. 99-19**](http://www.ct.gov/ethics/cwp/view.asp?a=2305&q=301338) **Application Of Conn. Gen. Stat. §1-86e To Independent Contractors’ Use Of State Funds To Benefit Related Party**.
8. The DDS Ethics Committee for Independent Contractors and Consultants, at minimum, consists of the following members:
9. DDS Operations Center Director, Co-Chair
10. DDS Legal Counsel, Co-Chair
11. DDS Regional Administrative Representative, appointed on a rotating basis
12. Director of DDS Billing and Rate Setting, or designee
13. A DDS Central Office Human Resources Department representative, or designee
14. A representative of the Department of Social Services (DSS) for issues related to DSS authority
15. The DDS Ethics Committee for Independent Contractors and Consultants meets on a regular basis. A simple majority of the members of the ethics committee constitutes a quorum for a meeting. Decisions of the ethics committee shall be rendered by a simple majority vote.
16. Using the criteria defined in this procedure, an independent contractor or consultant shall submit the required information, as indicated, to the DDS Ethics Committee for Independent Contractors and Consultants. The committee shall review these requests for a decision on approval or disapproval of (1) hiring a relative by an independent contractor or consultant; (2) staff expense payment for an activity or event; (3) a related party transaction; or (4) other activities where there is a potential for an ethics’ conflict at its regular meeting. The committee reserves the right to request further information. At the committee’s discretion, the independent contractor or consultant may have an opportunity to be heard while his or her request is being reviewed.
17. The DDS Ethics Committee for Independent Contractors and Consultants shall render any decision not later than 60 days from the receipt of the request and submission of any materials subsequently requested by the committee. The committee shall provide a written notice of the decision to the independent contractor or consultant.
18. If the DDS Ethics Committee for Independent Contractors and Consultants needs clarification of an ethics statute or advisory opinion, the committee shall communicate with the Office of State Ethics.
19. [**ADVISORY OPINION NO. 99-14**](http://www.ct.gov/ethics/cwp/view.asp?a=2305&q=301328) **Application Of Conn. Gen. Stat. §1-86e To The Hiring Of Relatives By Independent Contractors**
20. Prior approval by the DDS Ethics Committee for Independent Contractors and Consultants is required if an independent contractor or consultant is considering:
21. Hiring a relative (spouse, parent, child, sibling, in-law, aunt, uncle) or an immediate family member of a board member as an executive director, CEO, president, or officer of the contractor or consultant agency, or
22. Hiring a relative (spouse, parent, child, sibling, in-law, aunt, uncle) or an immediate family member of a board member, executive director, CEO, president, or officer of the contractor or consultant agency into an exempt employee position at the contractor or consultant agency.
23. Post-hiring review and approval not later than 30 days after hiring is required if any relative (spouse, parent, child, sibling, in-law, aunt, uncle) or immediate family member of any current employee with hiring or supervisory authority has been hired. The DDS Ethics Committee for Independent Contractors and Consultants shall be sent notification of the hiring for post-hiring review for approval or disapproval.
24. The DDS Ethics Committee for Independent Contractors and Consultants shall use the following criteria when reviewing the independent contractor’s or consultant’s hiring request:
25. The relative or immediate family member hired shall receive comparable compensation and benefits to other employees or previous employees in similar positions; and
26. The relative or immediate family member shall meet all of the qualifications for the position.
27. Information required to be submitted to DDS Ethics Committee for Independent Contractors and Consultants for a review of the hiring of a relative (See I.G.PR.009 Attachment A Hiring of a Relative by an Independent Contractor or Consultant Check List), includes:
28. Title and description of the position;
29. Name of person hired and relationship to the current independent contractor or consultant’s employee;
30. Name and position of employee with hiring or supervisory authority;
31. Documentation that the person hired is being paid a comparable salary and receiving comparable benefits as other employees or previous employees in similar positions;
32. Documentation that the relative or immediate family member meets the qualifications for the position; and
33. For prior approval requests, in addition to the above documentation, the independent contractor or consultant shall submit job postings and documentation of the hiring review and selection process.
34. [**ADVISORY OPINION NO. 99-15**](http://www.ct.gov/ethics/cwp/view.asp?a=2305&q=301330) **Application Of Ethics Rules To Acceptance Of Expense Payments To Accompany Department Of Mental Retardation Client To Event:**
35. If total payment for staff expenses for an activity or event by an individual or an individual’s family is less than $200, the independent contractor or consultant shall review, authorize and keep a record of receipts in accordance with DDS procedure I.F.PR.007 [Personal Funds Financial Management](http://www.ct.gov/dds/lib/dds/dds_manual/if/personal_funds_mgmt/ifpr007_personal_funds_financial_management_procedure.pdf). Staff expenses paid by an individual or an individual’s family less than $200 do not have to be submitted to the DDS Ethics Committee for Independent Contractors and Consultants; however, these expenses may be subject to an audit.
36. If total payment for staff expenses for an activity or event by an individual or an individual’s family is $200 or more:
37. Post approval not later than 90 days after an activity or event by the DDS Ethics Committee for Independent Contractors and Consultants is required if staff expenses paid for by an individual or an individual’s family total $200 or more but less than $2,000 per activity or event; or
38. Prior approval not later than 90 days in advance of an activity or event by the DDS Ethics Committee for Independent Contractors and Consultants is required if staff expenses to be paid for by an individual or an individual’s family are estimated to total $2,000 or more per activity or event.
39. The DDS Ethics Committee for Independent Contractors and Consultants shall use the following criteria when reviewing an independent contractor’s or consultant’s request for post or prior approval of payment of staff expenses:
40. The staff expenses being funded for the event have been requested by the individual or his or her family, guardian, or his or her Planning and Support Team.
41. The payment for necessary expenses for staff by an individual or an individual’s family totals $200.00 or more for the activity or event.

1. The individual’s Planning and Support Team has explored funding from other sources including, but not limited to, fundraising, charitable initiative or grant, family contribution, etc.
2. The independent contractor or consultant does not have DDS funding for the staff’s expenses to attend the activity or event.

1. An independent contractor, consultant, or staff member participating in an activity or event in support of an individual is requesting funding only for necessary expenses using an individual’s funds. Necessary expenses may include, but are not limited to, necessary travel expenses, lodging, meals and any registration or admission fee for the event or activity. An independent contractor, consultant or staff member shall provide his or her own spending money at an activity or event.

1. An independent contractor or consultant has a current policy posted regarding meal reimbursement for staff accompanying an individual to an activity or event. In the absence of a policy being submitted, the DDS Ethics Committee for Independent Contractors and Consultants shall use the following amounts per meal as a guideline: (A) Breakfast - $7.50; (B) Lunch - $9.00; and (C) Dinner - $20.00. Any staff meal expenses that exceed the amount provided for in the independent contractor’s or consultant’s meal reimbursement policy or, if no policy, the department’s amounts per meal guidelines shall be the responsibility of the staff member.
2. The individual’s Planning and Support Team has been involved in reviewing the necessary expenses for staff for the proposed activity or event and the independent contractor’s or consultant’s management staff, who are not part of the individual’s Planning and Support Team, have approved the expenditures.
3. Information to be submitted to the DDS Ethics Committee for Independent Contractors and Consultants for post or prior approval of payment of staff expenses includes: (See I.G.PR.009 Attachment B Approval of Staff Expense Payments for Accompanying an Individual to an Activity or Event Check List)
4. Name of staff attending;
5. Name of individual who is participating;
6. Description of the activity or event;
7. Documentation of other funding sources requested;
8. Documentation of the request and the approval of the individual’s planning and support team;
9. Signed authorization from the independent contractor or consultant;
10. Documentation of individual or individual’s family expenditure per staff member;
11. Documentation of the amount and use of funds and receipts;
12. Documentation that the independent contractor’s or consultant’s management staff, other than the staff attending the activity or event, and the individual’s Planning and Support Team, have agreed to the need for staff to attend the activity or event and use the individual’s or the individual’s family’s funds for necessary expenses; and
13. A copy of the independent contractor’s or consultant’s meal policy, if applicable.
14. If the criteria in subsection (c) of this section are not met by the independent contractor or consultant, the DDS Ethics Committee for Independent Contractors and Consultants shall notify the DDS regional director, or the regional director’s designee, to disallow the expenditures and seek restitution of the funds paid by the individual or the individual’s family from the independent contractor or consultant. Expenditures for staff to accompany an individual to an activity or event that have been disallowed cannot be included in the independent contractor’s or consultant’s annual financial report.
15. [**ADVISORY OPINION NO. 99-19**](http://www.ct.gov/ethics/cwp/view.asp?a=2305&q=301338) **Application of Conn. Gen. Stat. §1-86e To Independent Contractors’ Use of State Funds To Benefit Related Party**.
16. Post review and approval is required not later than 90 days after a related party transaction of less than $2,500.
17. Any related party transaction to be funded by the Department of Developmental Services (DDS) or the Department of Social Services (DSS) that is less than $2,500 does not require prior approval by the DDS Ethics Committee for Independent Contractors and Consultants. These transactions may be entered into without prior approval, but are required to be reviewed by the committee prior to the end of the fiscal year in which the transaction occurred and in accordance with the requirements in subsection (c) of this section. In addition, these transactions shall be disclosed in the independent contractor’s or consultant’s annual report, financial audit or financial statements and in any cost reporting to DDS or DSS. These transactions remain subject to review and subject to the requirement that the allowable cost shall be the related party’s actual cost. (Use I.G.PR.009 Attachment C Related Party Transactions Check List)
18. To the extent that a review by the DDS Ethics Committee for Independent Contractors and Consultants, or a review and an audit conducted by DDS or DSS determines that a related party transaction does not comply with section 1-86e of the Connecticut General Statutes, disallowances and recoveries shall be made by the department for the disallowed portion of the related party transaction.
19. For transactions less than $2,500, an independent contractor or consultant shall document that the amount of the transaction is based upon a reasonable charge that does not exceed the related party’s costs.
20. Failure to inform the DDS Ethics Committee for Independent Contractors and Consultants of an applicable related party transaction during the post review process may result in costs being disallowed on the independent contractor’s or consultant’s annual financial report.
21. Prior review and approval is required not later than 90 days before a related party transaction of $2,500 or more.

1. Any related party transaction to be funded by the Department of Developmental Services (DDS) or the Department of Social Services (DSS) that is $2,500 or more shall require prior approval by the DDS Ethics Committee for Independent Contractors and Consultants before the end of the fiscal year in which the transaction has occurred. Any approved related party transaction of $2,500 or more is required to be disclosed in the independent contractor’s or consultant’s annual report, financial audit, or financial statements, and in any cost reporting to DDS or DSS. These transactions shall remain subject to review and to the requirements set forth in the **Office of Policy and Management’s (OPM)** [**Purchase of Service (POS) Cost Standards**](http://www.ct.gov/opm/cwp/view.asp?a=2981&Q=382994&opmNav_GID=1806) that the allowable cost be the related party’s actual cost.
2. To obtain prior approval, an independent contractor or consultant proposing a related party transaction shall provide the DDS Ethics Committee for Independent Contractors and Consultants with a written statement and supporting documentation that complies with the requirements in subsection (c) of this section.
3. Failure to inform the DDS Ethics Committee for Independent Contractors and Consultants of an applicable related party transaction during the prior review process may result in its costs being disallowed on the independent contractor’s or consultant’s annual financial report.
4. Documentation to be submitted for approval to the DDS Ethics Committee for Independent Contractors and Consultants by an independent contractor or consultant, either (1) after a related party transaction of less than $2,500 or (2) prior to a related party transaction of $2,500 or more, includes: (Use I.G.PR.009 Attachment C Related Party Transactions Check List):
5. A narrative statement describing the purpose of the proposed or existing related party transaction. The statement shall identify the specific services that are to be or have been rendered by the related party, or the specific goods or property that is to be or was purchased or leased from the related party. Identification of **ALL** related parties, including all persons or organizations, is required to be disclosed and shall indicate the nature of the relationship that results in the proposed or existing transaction being a related party transaction.
6. Documentation of either the proposed or existing related party transaction shall include a copy of the related party’s proposed or existing contract or proposed or existing purchase or lease document. These documents shall identify the amount of the charges for specific goods, services or property included in the proposed or existing related party transaction. The documents shall be reviewed by the DDS Ethics Committee for Independent Contractors and Consultants to determine if the terms and conditions of the proposed or existing transaction are reasonable and appropriate for the types of services that are to be or have been contracted for, or for the goods or property that is to be or has been purchased or leased. The determination of reasonable and appropriate terms and conditions may require additional research; consultation with an arms-length provider of similar goods, services or property; or consultation with the Connecticut Attorney General’s Office. Any related party transaction shall be formalized by a contract, agreement, or lease that is signed by all parties involved in the transaction.
7. Reasons why the proposed or existing related party transaction is necessary are required to be included in the statement submitted to the DDS Ethics Committee for Independent Contractors and Consultants. Any financial or other benefit to the independent contractor or consultant and any financial or other benefit to the State of Connecticut of the proposed or existing related party transaction are required to be detailed in the statement. The statement shall clearly establish why the independent contractor or consultant wishes to enter or has entered into this specific related party transaction as opposed to having the goods, services or property in the proposed or existing transaction provided by an arms-length provider.
8. The independent contractor’s or consultant’s statement shall document the qualifications of the related party that would provide or is providing the goods, services or property identified in the statement. This documentation shall include the qualifications of any subcontractors that would provide or are providing any of the goods, services or property under the proposed or existing related party transaction.
9. For a proposed related party transaction of $2,500 or more, the independent contractor’s or consultant’s statement shall describe and document that there was an open and competitive bidding process for any goods, services or property that would be provided under the proposed related party transaction. If an open bidding process has not been done for a related party transaction of $2,500 or more, the independent contractor or consultant shall document the reasons why there was no open bidding process. The independent contractor or consultant proposing the related party transaction of $2,500 or more shall document that bidders are qualified and experienced vendors. Any request for a bid or any bid received by the independent contractor or consultant shall be submitted with the statement along with names and addresses of the contact persons for each bidder. Whenever possible at least three bids should be reviewed and considered before a related party bid is chosen by the independent contractor or consultant.
10. If a related party transaction is proposed or exists because the related party is “uniquely qualified,” the independent contractor or consultant shall fully document the uniqueness of the related party’s qualifications as compared to any arms-length provider of similar goods, services or property.
11. The statement shall document how related party costs will be or are controlled by the independent contractor or consultant. The statement shall include how the independent contractor or consultant would or will:
12. Determine independently and document that goods, services or property being billed under the related party contract, agreement or lease have been rendered to the independent contractor’s or consultant’s full satisfaction and in accordance with the terms and conditions of the contract, agreement or lease.
13. Document how internal controls shall be developed to ensure that related party billing does not exceed the actual cost of contracted services, or purchased or leased goods or property.
14. Have a termination clause in the contract, agreement or lease that (1) requires not less than a 30 day notice by either party; and (2) may be invoked without cause by either party.
15. The independent contractor or consultant requesting the related party transaction shall submit documentation that shows that charges from the related party are based upon the related party’s actual cost and shall include a provision in the related party’s contract, agreement or lease to this effect. In addition, any related party shall acknowledge in the contract, agreement or lease that any of its charges are subject to review and audit by the State of Connecticut, and that the related party shall make all accounting records, ledgers, and all other supporting documentation applicable to the transactions available for review by the State.
16. DSS rate setting regulations limit the amount of the related party’s allowable cost. That limit is contained in section 17-313b-3 of the Regulations of Connecticut State Agencies that states: “Whenever costs are incurred between related parties, allowable cost shall be defined as and limited to the cost to the related party. Findings of relatedness may be made in the absence of majority stock ownership of the related parties in respective organizations. The related party principle applies to any transaction between a provider and a related party, including but not limited to one time or multiple transactions involving services or supplies and one time sales or lease of the facility itself. Related party transactions must be identified as such in the [audited consolidated operational report] ACOR and the unallowable portion excluded in the appropriate section of the ACOR.”
17. In applying the related party definition to determine the existence of a related party transaction, the ability to control and the level of authority in the decision-making process that results in the transaction shall be the criteria to determine applicability to this ethics protocol. If the person who has the ability to authorize the transaction on behalf of the independent contractor or consultant meets the related party definition with respect to the subcontractor providing the goods, services or property then the transaction is subject to the provisions of this ethics protocol.
18. If the DDS Ethics Committee for Independent Contractors and Consultants approves the related party transaction, the independent contractor or consultant shall resubmit the request for review and approval of the related party transaction every three years or when a material change occurs to the related party transaction (i.e. change in (1) cost, quantity or type of goods, services or property provided; (2) length of contract, agreement or lease; (3) contractor or subcontractor involved.)
19. The review and approval of any related party transaction by the DDS Ethics Committee for Independent Contractors and Consultants does not limit or preclude the Department of Developmental Services (DDS) or the Department of Social Services (DSS) from conducting any form of audit or post-review of a related party transaction approved by the committee. Additionally, rate setting regulations and contract requirements that limit the allowable cost of a related party transaction to the related party’s actual costs shall prevail over any related party transaction approved by the ethics committee.
20. **Options for Appeal of a Decision by the DDS Ethics Committee for Independent Contractors or Consultants**

1. If the DDS Ethics Committee for Independent Contractors and Consultants does not approve the independent contractor’s or consultant’s request for a decision on (1) hiring a relative by an independent contractor or consultant; (2) staff expense payment for an activity or event; (3) a related party transaction; or (4) other activities where there is a potential for an ethics’ conflict; the independent contractor or consultant may:
2. Bring the hiring decision, staff expense, transaction, or other activity into compliance with the ethics committee’s decision and resubmit the request for approval; or
3. Submit a request for an opinion to the Office of State Ethics.
4. Until a decision is rendered by the Office of State Ethics the costs associated with the related party transaction shall not be allowed.
5. If the independent contractor or consultant fails to follow the recommendations of the DDS Ethics Committee for Independent Contractors and Consultants or does not take action to bring the hiring decision, staff expense, transaction, or other activity into compliance the recommendations, the DDS Ethics Committee for Independent Contractors and Consultants shall refer the matter to the Office of State Ethics and to the appropriate DDS region, for further action.
6. Any independent contractor or consultant that makes a change in any matter where a decision has been issued by the DDS Ethics Committee for Independent Contractors and Consultants (see section (4) subsection (d) of this protocol) shall notify the ethics committee of the change (e.g. an immediate relative hired is given a non-comparable pay increase than a comparable staff member, a related party transaction is adjusted by the independent contractor or consultant).
7. These processes do not preclude any independent contractor or consultant from seeking an opinion from the Office of State Ethics on a decision of the DDS Ethics Committee for Independent Contractors and Consultants. No change in the decision by the DDS Ethics Committee for Independent Contractors and Consultants shall be made without a formal decision or opinion from the Office of State Ethics.
8. **References**

**Connecticut General Statutes**

1. Chapter 10 (Sections 1-79 through 1-101rr, inclusive) “[Code of Ethics](https://www.cga.ct.gov/current/pub/chap_010.htm)”
2. Section 1-86e “[Consultants and independent contractors. Prohibited activities.](http://search.cga.state.ct.us/r/basic/dtsearch.asp?cmd=getdoc&DocId=90&Index=I%3a%5czindex%5csurs&HitCount=6&hits=17f4+17f5+3b2d+3b2e+3d8c+3d8d+&hc=14&req=1%2D86e&Item=0#sec_1-86e)”
3. Section 17b-244 “[Payments to private facilities providing functional or vocational services for severely handicapped persons and payments for residential care. Establishment of rate. Regulations.](http://search.cga.state.ct.us/r/basic/dtsearch.asp?cmd=getdoc&DocId=408&Index=I%3a%5czindex%5csurs&HitCount=12&hits=268+269+2f46+2f47+5dfb+5dfc+6562+6563+67dc+67dd+6f78+6f79+&hc=26&req=17b%2D244&Item=1#sec_17b-244)”
4. Section 17b-244a “[Rates for payment to residential facilities for individuals with intellectual disabilities.](http://search.cga.state.ct.us/r/basic/dtsearch.asp?cmd=getdoc&DocId=408&Index=I%3a%5czindex%5csurs&HitCount=12&hits=268+269+2f46+2f47+5dfb+5dfc+6562+6563+67dc+67dd+6f78+6f79+&hc=26&req=17b%2D244&Item=1%20-%20sec_17b-244#sec_17b-244a)”

**Regulations of Connecticut State Agencies**

1. Section 1-81-27. “[Gifts to the state.](https://eregulations.ct.gov/eRegsPortal/Browse/RCSA/%7BA01C1108-BBCA-44A7-A000-DB2CE1C5BBD0%7D)”
2. Section 17-313b-1(19) “[Definitions.](https://eregulations.ct.gov/eRegsPortal/Browse/RCSA/%7BD7FD40AE-57D1-4A28-A9EA-883F85367D79%7D)” Related Parties
3. Section 17-313b-3 “[Filing of audited consolidated operational report (ACOR)](https://eregulations.ct.gov/eRegsPortal/Browse/RCSA/%7BF28CEF44-783D-4C78-BFB1-753C9677C9F6%7D)”

**Related Office of State Ethics Advisory Opinions**

1. [1997-22](http://www.ct.gov/ethics/cwp/view.asp?a=2305&q=301224) Application of the Independent Contractor Section of the Code of Ethics Connecticut General Statutes §1-86e to a private entity contracting with the Department of Mental Retardation
2. [1998-9](http://www.ct.gov/ethics/cwp/view.asp?a=2305&q=301316) Application of the Code of Ethics to gifts by the University of Connecticut to public officials from another State entity
3. [1998-30](http://www.ct.gov/ethics/cwp/view.asp?a=2305&q=301298) Application of Connecticut General Statutes §1-84c to State employee named as beneficiary or executrix(or) under client’s will
4. [1999-13](http://www.ct.gov/ethics/cwp/view.asp?a=2305&q=301326) Application of Independent Contractor Ethics Rules, Connecticut General Statute §1-86e, to Families and Consumers receiving direct funding from the Department of Mental Retardation
5. [1999-14](http://www.ct.gov/ethics/cwp/view.asp?a=2305&q=301328) Application of Connecticut General Statute §1-86e to Hiring of Relatives by Independent Contractors and their staff
6. [1999-15](http://www.ct.gov/ethics/cwp/view.asp?a=2305&q=301330) Application of Ethics Rules to Acceptance of Expenses to accompany Department of Mental Retardation clients to events
7. [1999-17](http://www.ct.gov/ethics/cwp/view.asp?a=2305&q=301334) Application of Gift Restrictions to employees of private agencies under contract with the Department of Mental Retardation
8. [1999-19](http://www.ct.gov/ethics/cwp/view.asp?a=2305&q=301338) Application of Connecticut General Statutes §1-86e to independent contractors’ use of State funds to benefit related party
9. **Attachments**

I.G.PR.009 Attachment A [Hiring of a Relative by an Independent Contractor or Consultant Check List](http://www.ct.gov/dds/lib/dds/dds_manual/ig/igpr009_attachment_a_hiring_of_relatives_check_list.docx)

I.G.PR.009 Attachment B [Approval of Staff Expense Payments for Accompanying an Individual to an Activity or Event Check List](http://www.ct.gov/dds/lib/dds/dds_manual/ig/igpr009_attachment_b_approval_of_staff_expense_payments.docx)

I.G.PR.009 Attachment C [Related Party Transactions Check List](http://www.ct.gov/dds/lib/dds/dds_manual/ig/igpr009_attachment_c_related_party_transactions_check_list.docx)