

STATE OF LOUISIANA DEPARTMENT OF STATE CIVIL SERVICE LOUISIANA BOARD OF ETHICS

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March 10, 2021

VIA email

The Honorable Patrick Page Cortez. President, Louisiana State Senate 'apa.senatepresident@legis.la.gov' P. O. Box 94183
Baton Rouge, LA 70804

The Honorable Clay Schexnayder Speaker, Louisiana House of Representatives 'apa.housespeaker@legis.la.gov' P. O. Box 94062 Baton Rouge, LA 70804-9062 The Honorable Senator Sharon Hewitt, Senate and Governmental Affairs Committee <u>apa.s-s&g@legis.la.gov</u> P.O. Box 94183 Baton Rouge, Louisiana 70804

The Honorable Representative John M. Stefanski, House and Governmental Affairs Committee apa.h-hg@legis.la.gov
P. O. Box 94062
Baton Rouge, Louisiana 70804

Re: Promulgation of Amended Rules Regarding Third Party Ethics Training

Dear President Cortez, Speaker Schexnayder, Senator Hewitt and Representative Stefanski:

Pursuant to R.S. 49:968 (B) and (C), the Louisiana Board of Ethics is submitting a copy of the Notice of Intent and approved Fiscal Statement for the proposed amended regulations to the Rules for the Board of Ethics concerning third party training. The deadline to submit comments or request a public hearing for the proposed rules is April 10, 2021.

If I can be of any further assistance, please do not hesitate in contacting me.

Sincerely,

Kristy Gary

Kristy Gary Deputy Ethics Administrator Underscore/Strikethrough version of the proposed rule for the Board of Ethics.

Title 52

ETHICS Chapter 24. Third-Party Ethics Training

§2401. In General

- A. It is of primary importance to the public that each public servant in the state of Louisiana undergoes education and training on the Code of Governmental Ethics during each year of his term of public employment or term in office, as the case may be, in accordance with R.S. 42:1170. These rules establish the procedure to certify persons and programs to deliver education regarding the laws within the jurisdiction of the Board of Ethics (board) to public servants required to receive education regarding those laws. These rules do not apply to persons who are employed by the ethics administration program.
- B. State agency ethics liaisons designated pursuant to R.S. 42:1170(C)(2) are certified trainers and not required to comply with §2405.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 38:1209 (May 2012).

§2403. Definitions

A. For purposes of Chapter 24 of these Rules, the following definitions apply.

Additional Material—public servant ethics training material which has not yet been approved by the Board of Ethics for presentations. Such material requires board approval prior to being presented to public servants.

Certified Trainer—any person who is approved to educate and train the state's public servants on the Code of Governmental Ethics and who is not an employee of the Board of Ethics.

Liaison—the person designated by each agency head to provide all public servants of that agency information and instruction relative to ethics and conflicts of interest.

Preapproved Training Material—public servant ethics training materials that do not require approval from the Board of Ethics in order for the certified trainer to present the material to public servants.

Proctor—a person who does not teach a public servant ethics training program, but administers the training by recorded presentation, which may include, but is not limited to, a DVD or electronic presentation requiring computer software provided by the Board of Ethics.

Program—a specific session of public servant ethics training.

Public Servant Ethics Training—the mandatory one hour of ethics training that all public servants in the State of

Louisiana are required to attend annually pursuant to R.S. 42:1170(A).

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 38:1209 (May 2012).

§2405. Certification of Trainers

- A. In order for an applicant to be an approved certified trainer, he must meet the following requirements.
- 1. Required Training. Certified trainer applicants are required to undergo a minimum of four hours of training within the past three years that can be verified with attendance records maintained by the ethics administration program prior to submitting an application seeking certified trainer status. Courses that may count toward an applicant's four hour training requirement include:
- a. two hour training course(s) developed for liaisons pursuant to R.S. 42:1170(C);
- b. public servant ethics training offered by an employee of the ethics administration program or any other trainer who has been previously certified to deliver public servant ethics training programs by the ethics administration program; or
- c. public servant ethics training offered via the Board of Ethics website; however, no more than one hour will count toward an applicant's four hour training requirement.
- 2. Application Submission. All persons who seek approval as a certified trainer to deliver a public servant ethics training program must submit an application for trainer certification following the completion of the required training pursuant to Subsection A of this Section. The application can be found on the board's website.
- 3. Ongoing Training. A certified trainer who wishes to maintain certified status in subsequent years is required to undergo two hours of continuing education within 90 days of the beginning of each calendar year; this requirement can be met through attendance at any of the courses enumerated in Subsection A of this Section. A certified trainer who does not undergo his two hour continuing education training course to maintain his certified status will be required to attend four hours of training and submit an application for trainer certification, which must be approved by the ethics administrator, or his designee, to renew his certified trainer status.
- B. Certified trainer applicants must not have been found to have been in violation of any of the laws within The Code of Governmental Ethics, R.S. 42:1101 et seq., prior to submission of an application for trainer certification unless approval has been obtained by the board in accordance with Section 2405.B.3.

- 1. Subsection B does not include persons who have been subject to a per day late fee pursuant to the laws under the jurisdiction of the board, if said fee has been paid.
- 2. Subsection B does not apply to any persons who have been found in violation of any other laws under the board's supervision or jurisdiction including, but not limited to, the Campaign Finance Disclosure Act, R.S. 18:1481 et seq., or the Lobbyist Disclosure Acts, R.S. 24:50 et seq., R.S. 49:71 et seq., and R.S. 33:9661 et seq.
- 3. A person who has been found in violation of the Code of Governmental Ethics, as set forth in Subsection B, may seek approval from the board to become a certified trainer three years from the date the decision finding the violation is final.
- C. Certified trainer applicants who are licensed to practice law may not be approved if currently representing a client in connection with an ongoing investigation, if representing a client in a matter in which charges have been filed by the board, or if an attorney of record in a civil lawsuit in which the board is named as an opposing party.
- 1. Subsection C shall not prohibit an attorney from becoming a certified trainer if he is representing a client in relation to an advisory opinion request before the board.
- 2. Subsection C shall only be read to apply to the individual attorney and shall not be read to be imputed upon an attorney's firm.
- D. Only upon approval by the ethics administrator, or his designee, will an applicant become a certified trainer. The ethics administrator, or his designee, retains the right to refuse approval of applicants, or suspend or revoke the status of certified trainers as set forth in §2413.H, who do not comply with the requirements or standards of these rules. A person not approved as a certified trainer under this Section may appeal the decision of the ethics administrator, or his designee, to the board.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 38:1209 (May 2012).

§2407. Training and Education Materials

- A. Certified trainers are required to use training and education materials approved by the ethics administration program.
- B. Access to preapproved training materials will be made available to trainers pending completion of training requirements set forth in §2405 and upon trainer certification.
- C. Additional material may be used by certified trainers if the material has been approved by the ethics administrator, or his designee, pursuant to the standards and expectations set out in §2409.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 38:1210 (May 2012).

§2409. Standards and Expectations for Approval; Additional Material

- A. Application for Approval. Certified trainers who wish to utilize material that has not been preapproved by the board must submit an application for approval of material for public servant ethics training to the Board of Ethics with a copy of the materials for the proposed program.
- B. Process. The ethics administration program will evaluate the application and material pursuant to the standards and expectations in Subsection C of this Section. An application for such program and materials must be submitted to the board at least 60-30 days in advance of the program.
- C. Standards and Expectations. The following standards will govern the approval of materials by the board.
- 1. The materials for the program must have significant intellectual or practical content, and its primary objective must be to maintain or increase the public servant's awareness of the ethical standards set forth in the code of governmental ethics.
- 2. Materials submitted with the application shall include a copy of high quality and carefully prepared materials that shall be given to all public servants at the program. Materials submitted may include written material to be distributed to participants as well as videos, slideshows or other electronic media.
- D. Additional Material. Materials that have been approved by the ethics administration program for use in a public servant ethics training program are valid for the remainder of the calendar year and are not required to undergo an approval process until the following year.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 38:1210 (May 2012).

§2411. Notification of Ethics Training Program

- A. Prior to conducting a public servant ethics training program, a certified trainer must notify the ethics administration program and request approval of the session. An application for public servant ethics training program can be found on the board's website and shall be submitted to the ethics administration program electronically for approval.
- B. Preapproved Training Material. A certified trainer must submit an Application for public servant ethics training program to the Board of Ethics at least 15 5 days prior to the program if the material to be used in the presentation is preapproved training material.
- C. Additional Material. A certified trainer must submit an application for public servant ethics training program in conjunction with an application for approval of material for public servant ethics training pursuant to §2409 at least 60 30 days prior to the program if the material to be used in the presentation is not preapproved training material. An application for approval of material for public servant ethics training need not be submitted if the material to be used has

Underscore/Strikethrough version of the proposed rule for the Board of Ethics.

already been approved pursuant to §2409.D for the calendar year.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 38:1210 (May 2012).

§2413. Ethics Training Program Requirements

- A. Programs must be a minimum of one hour in order for the public servant to receive credit for his public servant ethics training, and the public servant must be present during the entirety for at least 90% of the presentation.
 - B. The program must be offered by a certified trainer.
- C. The costs of the program, if any, to the attending public servant must be reasonable considering the subject matter, level of instruction, supporting documentation, and educational material.
- D. No examination or testing shall be required at any public servant ethics training program, unless for the sole purpose of attendance verification.
 - E. The program must be
- 1. conducted in a physical setting conducive to learning at a time and place free of interruptions.
- conducted in a virtual environment using software that allows the certified trainer to obtain login information for the user.
- F. The certified trainer of an approved public servant ethics training program must announce or indicate as follows:
- 1. This course has been approved by the Louisiana Board of Ethics to meet the ethics training requirement pursuant to R.S. 42:1170. The person delivering this program is not employed by the Board of Ethics, and any advice given is informational in nature. No opinions given are those of the Board of Ethics. If you have any questions regarding this program or the Code of Governmental Ethics, do not hesitate to contact the board with your inquiry.
- G. At the conclusion of an approved program, each attending public servant must be given the opportunity to complete an evaluation questionnaire addressing the quality, effectiveness, and usefulness of the particular program. Within 30 days of the conclusion of the program, a summary of the results of the questionnaires must be forwarded to the board. If requested, copies of the questionnaires must also be forwarded to the board. Certified trainers must maintain the questionnaires for one year following a program, pending a board request for their submission.
- H. To ensure all requirements are met in accordance with this Chapter, the board or its staff may at any time evaluate a program and suspend approval of it. The board and its staff may also at any time evaluate a trainer and suspend or revoke his status as a certified trainer. The certified trainer will be given written reasons for suspension or revocation

and an opportunity to appear before the board at its next regularly scheduled monthly meeting.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 38:1210 (May 2012).

§2415. Public Servant Attendance Information and Submission; Certified Trainers

- A. Each public servant shall complete a public servant ethics training attendance form while in attendance at attending a certified program, shall provide information requested by the trainer.
- B. For in person trainings, Aattendance forms will be provided by the certified trainer. C. Attendance forms, which shall include an area for the attendee's name, date of birth, agency, signature, course number, and certified trainer name, time of beginning of attendance and time of end of attendance. The attendance form must be completed and turned into the trainer at completion of the training, and shall include a clause that states:
- 1. Your signature on this attendance form is your attestation that you attended the entire program and that you are the person whose identity this form declares. You understand that evidence brought to the attention of the Board of Ethics to the contrary may result in disciplinary action from the board for failure to comply with R.S. 42:1170.
- C. For trainings conducted in a virtual environment, the following information for the attendee must be captured by the software used by the trainer: name, date of birth, agency, course number, name of certified trainer, time of log on, and time of log off.
- D. The public servant must complete a form while in attendance and leave the form with the certified trainer to be filed and stored by the certified trainer must maintain attendance documentation for a minimum of four years; in the event a request is ever made by the board to view the forms by the board for the purposes of an audit, hearing, investigation, or any other purposes the board deems necessary and proper.
- E. The certified trainer shall submit a certification of attendance to the board of Ethics within 30 days after the date of the program. The submission shall be made electronically on the board's website, and shall include the course number, certified trainer's name, the date of the program, and a list of the only those attendees who attended 90% of the training, along with the attendee's with each public servant's date of birth and agency.
- F. Attendance forms, or any other certification of attendance, will not be accepted by the Board of Ethics from an individual public servant.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 38:1211 (May 2012).

§2417. Ethics Liaisons; Proctors

- A. A state agency ethics liaison may deliver information, as a proctor, to the public servants in his agency regarding the education and training required pursuant to R.S. 42:1170.A of the code of governmental ethics, provided the liaison has the training required by R.S. 42:1170.C.
- B. A political subdivision ethics liaison may deliver information, as a proctor, to the public servants under his agency's supervision or jurisdiction regarding the education and training required pursuant to R.S. 42:1170.A of the code of governmental ethics, provided the liaison has been designated by his agency head and the liaison has attended a minimum of two hours of education and training designed for such persons or for persons set out in R.S. 42:1170.C regarding the provisions of the code of governmental ethics. In addition, each liaison shall be required to have at least two hours of ethics education and training annually.
- 1. A political subdivision, for purposes of this Section, is defined by R.S. 42:1102(17) as any unit of local government, including a special district, authorized by law to perform governmental functions.
- C. If a request is made to the Board of Ethics, the board will provide the proctor, as defined in Subsections A and B access to a recorded presentation regarding the Code of Governmental Ethics, which may include, but is not limited to, a DVD or other presentation through the use of computer software.
- D. In order for the public servant to receive credit for his public servant ethics training, the recorded presentation must be a minimum of one hour, and the public servant must be present for the entirety of the presentation.
- E. Proctors for a public servant ethics training program shall announce or indicate as follows, prior to beginning the presentation.
- 1. This course has been approved by the Louisiana Board of Ethics to meet the ethics training requirement pursuant to R.S. 42:1170. The person delivering this program is not employed by the Board of Ethics, and any advice given is informational in nature. No opinions given are those of the Board of Ethics. If you have any questions regarding this program or the Code of Governmental Ethics, do not hesitate to contact the board with your inquiry.

- F. Proctors must adhere to the following when submitting information to the Ethics Administration Program regarding the public servants in their agency.
- 1. Each public servant shall complete a public servant ethics training attendance form while in attendance at a recorded presentation by the proctor.
 - 2. Attendance forms will be provided by the proctor.
- 3. Attendance forms shall include an area for the attendees' name, date of birth, agency, signature, course number, and proctor name and shall also include a clause that states:

Your signature on this attendance form is your attestation that you attended the entire presentation and that you are the person whose identity this form declares. You understand that evidence brought to the attention of the Board of Ethics to the contrary may result in disciplinary action from the board for failure to comply with R.S. 42:1170.

- 4. The public servant must complete a form while in attendance and leave the form with the proctor to be filed and stored by the agency political subdivision for a minimum of four years; in the event a request is ever made by the board to view the forms by the board for the purposes of an audit, hearing, investigation, or any other purposes the board deems necessary and proper.
- 5. The proctor shall submit information regarding the attendees to the Board of Ethics within 30 days after the date of the program. The submission shall be made electronically on the board's website, and shall include the course number, proctor's name, the date of the program, and a list of the attendees with each public servant's date of birth and agency.
- 6. Attendance forms, or any other certification of attendance, will not be accepted by the Board of Ethics from an individual public servant.
- G. Proctors are required to be present for the entirety of the program. If the proctor is not in the room with the attendees, the class size shall be limited to less than 10 attendees. Also, the proctor must be able to visually see the attendees and monitor their attendance.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 38:1211 (May 2012).

FISCAL AND ECONOMIC IMPACT STATEMENT FOR ADMINISTRATIVE RULES

Person Preparing Statement:	Kristy F. Gary	Dept.:	Civil Service	
Phone:	225-219-5600	Office:	Ethics Administration Program	
Return Address:	P.O. Box 4368	Rule Title:	Third-Party Ethics Training	
	Baton Rouge, LA 70821	Date Rul Takes Eff	ect: Upon Promulgation	
		JMMARY aplete sentence	es)	
fiscal and eco FOLLOWING	nomic impact statement on the ru	ile proposed TACHED WC	vised Statutes, there is hereby submitt for adoption, repeal or amendment. PRKSHEETS, I THROUGH IV AND <u>V</u> PROPOSED AGENCY RULE.	THE
I. ESTIMAT UNITS (Se		SAVINGS) TO	O STATE OR LOCAL GOVERNMEN	TAL
individuals ta	king such training. The estimated c	ost to implem	training and account for attendance by ent the proposed rule change is \$320 in Id the proposed rule in the State Regist	ı FY
II. ESTIMAT UNITS (S		LECTIONS O	F STATE OR LOCAL GOVERNMEN	TAL
The proposed units.	l rule will have no anticipated effe	ect on revenue	collections of state or local governm	ental
III. ESTIMAT SMALL BUSI	TED COSTS AND/OR ECONOM NESSES, ORNON-GOVERNMEN'	IIC BENEFITS	5 TO DIRECTLY AFFECTED PERSO (Summary)	ONS,
	cs trainers to use virtual trainir		ersons. The proposed rule changes a nated costs and/or economic benefi	
IV. ESTIMAT	ED EFFECT ON COMPETITION A	AND EMPLOY	(MENT (Summary)	
The proposed	I rule change will have no anticipat	ed effect on co	mpetition and employment.	
Kristy G	ary		Alan M. Bulotis	<u></u>
Signature of	Agency Head or Designee		Legislative Fiscal Officer or Designe	e
	Deputy Ethics Administrator and Title of Agency Head or Desig	nee	3/10/21	
Date of Signa	ture		Date of Signature	

FISCAL AND ECONOMIC IMPACT STATEMENT FOR ADMINISTRATIVE RULES

The following information is required in order to assist the Legislative Fiscal Office in its review of the fiscal and economic impact statement and to assist the appropriate legislative oversight subcommittee in its deliberation on the proposed rule.

A. Provide a brief summary of the centent of the rule (if proposed for adoption, or repeal) or a brief summary of the change in the rule (if proposed for amendment). Attach a copy of the notice of intent and a copy of the rule proposed for initial adoption or repeal (or, in the case of a rule change, copies of both the current and proposed rules with amended portions indicated).

The proposed rule change allows certified ethics trainers to use virtual training and account for attendance by individuals taking such training.

R.S. 42:1170 provides that the annual ethics training requirement "may be received either in person or via the Internet through the training and education materials designed by the board pursuant to R.S. 42:1134."

R.S. 42:1134 provides that the board may adopt rules to carry out the provisions and purposes of the Code of Governmental Ethics.

B. Summarize the circumstances, which require this action. If the Action is required by federal regulation, attach a copy of the applicable regulation.

Given the use of virtual training medians to provide the requisite ethics training, the current rules need amending.

- C. Compliance with Act 11 of the 1986 First Extraordinary Session
 - (1) Will the proposed rule change result in any increase in the expenditure of funds? If so, specify amount and source of funding.

The only expense associated with the proposed rule change is the cost of publishing the Notice of Intent and the rule in the State Register.

- (2) If the answer to (1) above is yes, has the Legislature specifically appropriated the funds necessary for the associated expenditure increase?
 - (a) Yes. If yes, attach documentation.
 - (b) X NO. If no, provide justification as to why this rule change should be published at this time.

The expense will be absorbed by existing budget.

FISCAL AND ECONOMIC IMPACT STATEMENT WORKSHEET

I. A. COSTS OR SAVINGS TO STATE AGENCIES RESULTING FROM THE ACTION PROPOSED

1. What is the anticipated increase (decrease) in costs to implement the proposed action?

COSTS	FY 21	FY 22	FY 23
Personal Services	0	0	ρ
Operating Expenses	\$320	0	0
Professional Services	0	0	.0
Other Charges	0	0	
Equipment	0	0	0
Major Repairs & Constr.	0	0	0
TOTAL	\$320	0	0
POSITIONS (#)	0	0	0

Provide a narrative explanation of the costs or savings shown in "A 1.", including the
increase or reduction in workload or additional paperwork (number of new forms, additional
documentation, etc.) anticipated as a result of the implementation of the proposed action.
Describe all data, assumptions, and methods used in calculating these costs.

The above cost represents the cost to publish the notice of intent and the rule to be promulgated in the State Register.

3. Sources of funding for implementing the proposed rule or rule change.

SOURCE	FY 21	FY 22	FY 23
State General Fund	\$320	0	•
Agency Self-Generated	0	0	0
Dedicated	0	0	0
Federal Funds	0	0	0
Other (Specify)	0	0	0
TOTAL	\$320	- 0	0

4. Does your agency currently have sufficient funds to implement the proposed action? If not, how and when do you anticipate obtaining such funds?

Yes, the agency does have sufficient funds to publish the items in the State Register.

- COST OR SAVINGS TO LOCAL GOVERNMENTAL UNITS RESULTING FROM THE ACTION PROPOSED.
 - Provide an estimate of the anticipated impact of the proposed action on local governmental
 units, including adjustments in workload and paperwork requirements. Describe all data,
 assumptions and methods used in calculating this impact.

The proposed action will not have a fiscal impact on local governmental units.

2. Indicate the sources of funding of the local governmental unit which will be affected by these costs σ savings.

Not applicable.

FISCAL AND ECONOMIC IMPACT STATEMENT WORKSHEET

II. EFFECT ON REVENUE COLLECTIONS OF STATE AND LOCAL GOVERNMENTAL UNITS

A. What increase (decrease) in revenues can be anticipated from the proposed action?

REVENUE INCREASE/DECREASE	FY 21	FY 22	FY 23
State General Fund	0	•	0
Agency Self-Generated	0	0	0
Dedicated Fands*	0	0	0
Federal Funds	0	0	0
Lecal Funds	0	O	0
TOTAL	0	0	0

^{*}Specify the particular fund being impacted.

B. Provide a narrative explanation of each increase or decrease in revenues shown in "A." Describe all data, assumptions, and methods used in calculating these increases or decreases,

No increase in revenues is anticipated.

FISCAL AND ECONOMIC IMPACT STATEMENT WORKSHEET

III. COSTS AND/OR ECONOMIC BENEFITS TO DIRECTLY AFFECTED PERSONS SMALL BUSINESSES OR NONGOVERNMENTAL GROUPS

A. What persons, small businesses, or non-governmental groups would be directly affected by the proposed action? For each, provide on estimate and a narrative description of any effect on costs, including workload adjustments and additional paperwork (number of new forms, additional documentation, etc.), they may have to incur as a result of the proposed action.

The proposed action may impact certain directly affected persons. The proposed rule change allows certified ethics trainers to use virtual training. The estimated costs and/or economic benefits is Indeterminable.

B. Also provide an estimate and a narrative description of any impact on receipts and/or income resulting from this rule or rule change to these groups.

The proposed action will have no impact on receipts and/or income from these groups.

IV. EFFECTS ON COMPETITION AND EMPLOYMENT

Identify and provide estimates of the impact of the proposed action on competition and employment in the public and private sectors. Include a summary of any data, assumptions and methods used in making these estimates.

The proposed action will not impact competition and employment.