



Ethics Education and Training Policy

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Policy Type:	University
Responsible Executive:	VP for Business Affairs
Responsible Office:	Human Resources
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I. Policy Statement

The University of Louisiana Monroe's (ULM) Ethics Education and Training Policy provides detailed information regarding the required Ethics Education and Training of public employees as stated in Louisiana Revised Statute (RS) 42:1170: <https://legis.la.gov/Legis/Law.aspx?d=99264>.

II. Purpose of Policy

The Louisiana Legislature enacted the Louisiana Code of Governmental Ethics <https://www.crt.state.la.us/Assets/OCD/hp/grants/certifiedlocalgovernment/documents-and-forms/LA%20Code%20of%20Governmental%20Ethics.pdf> to promote the proper functioning of democratic state government by establishing ethical conduct expectations, disclosure, and ethics education and training requirements for all elected officials and public employees. The Code functions to protect the public and public resources by holding elected officials and public employees accountable for recognizing and reporting and/or avoiding conflicts of interest that might arise in their capacity as public servants.

The Ethics Education and Training Policy accomplishes the following:

- defines the employee training requirement
- provides information about how employees can access the training
- discusses the manner in which training completion is documented and
- describes the penalties that may be imposed on an employee who does not complete the training

III. Applicability

In accordance with the Louisiana Code of Governmental Ethics (Code), this policy applies to the University as a state agency and to all University employees as public employees who are engaged in the performance of a governmental function by working for the University.

All categories of University Employees are covered by the Louisiana Governmental Code of Ethics and this policy whether employed full-time or part-time: Classified, Unclassified, Faculty, Adjunct, Casual Wage, Fellows, Graduate Assistants, Teaching Assistants and Student Workers.

All Employees are subject to the Code and this policy whether or not they are remunerated.

Ethics Information for University Business Partners

Additionally, the University provides information about governmental ethics to those with whom the University does business.

IV. Definitions

Louisiana Board of Ethics: a group of eleven individuals who are charged with administering the Louisiana Code of Governmental Ethics to all state and local public employees, appointed members of boards and commissions and elected officials other than judges.

Louisiana Code of Governmental Ethics: a code of ethics established by the Louisiana Legislature that functions to protect the public and public resources by holding elected officials and public employees accountable for recognizing and reporting and/or avoiding conflicts of interest that might arise in their capacity as public servants.

Ethics Liaison: the person designated by the agency to provide all employees information about the Louisiana Code of Governmental Ethics as well as access to the required Ethics Education and Training.

State Agency: a department, office, division, agency, commission, board, committee or other organizational unit of the state governmental entity.

Public Employee: anyone, whether compensated or not, who is (a) an officer or official of a governmental entity who is not filling an elective office; (b) appointed by an elected official to a position to serve the government or government agency, when the elected official was acting in his official capacity; (c) engaged in the performance of a governmental function; or (d) is under the supervision or authority of an elected official or another governmental employee.

V. Policy Procedure

Ethics Liaison

By July 1 of each calendar year, the University President, as agency head, designates a University employee as the University's State Appointed Ethics Liaison (Ethics Liaison), as that position is set forth in rules promulgated by the Louisiana Board of Ethics. The Ethics Liaison is responsible for providing all Employees access to the required training, as offered or approved by the Louisiana Board of Ethics.

Once appointed, the Ethics Liaison is required to complete annual training of at least two hours, as administered by the Louisiana Board of Ethics. The Ethics Liaison is required to register annually with the Louisiana Board of Ethics. The University assures that all Employees are notified of the current name and contact information of the Ethics Liaison by posting that information in a convenient and conspicuous manner.

Mandatory Annual Ethics Education and Training for All University Employees

Each Employee is required to complete a minimum of one (1) hour of Ethics Education and Training regarding the Louisiana Code of Governmental Ethics annually as stated in in the following subsection of Louisiana Revised Statute (RS) 42:1170:

Louisiana Revised Statute (RS) 42:1170:

RS 42.1170 Ethics education; mandatory requirements; ethics designee

A.(3)(a)(i) Commencing on January 1, 2012, each public servant who was not required to complete education and training pursuant to Paragraph (1) or (2) of this Subsection shall receive a minimum of one hour of education and training on the Code of Governmental Ethics during each year of his public employment or term of office, as the case may be.

The Employee may complete the training online or through an in-person training session, in accordance with the rules established by the Board. ULM has set a deadline of March 31 of each calendar year for completion of Ethics Training for all employees who are continuing in their employment with ULM from the previous calendar year.

New Employees

New Employees are to complete the required Ethics Training within the first week of their employment as part of their official employee check-in. All ULM Employees are to have a ULM email address. At the time of hire, the Department of Human Resources shall notify the new Employee of this policy and the training requirement.

Supervisors are responsible for assuring that each new Employee completes the training and for informing the Department of Human Resources when the training is complete. The Department of Human Resources will make the notation in the Employee's file documenting the completion of the check-in process.

It is the responsibility of Supervisors and Division Heads to permit Employees sufficient time during an individual Employee's regular work hours to complete the mandatory minimum of one (1) hour of ethics training, whether the Employee completes the training online or in-person. It is the responsibility of Supervisors and Division Heads to make sure that all their employees complete the training.

It is the Employee's responsibility to complete two actions: 1) complete the mandatory annual training by the University deadline and 2) provide verification of completion of training upon request by printing out a copy of the Ethics Training Certificate.

Online Training

Employees are encouraged to complete the Ethics Education and Training online. Employees are directed to access the training through the ULM Online Training System - <https://webservices.ulm.edu/training/>, where they will be redirected to the Board of Ethics training portal.

Employees completing training online through the Board's training portal **should register for training using their University e-mail address tied to a University domain (e.g., ulm.edu or warhawks.ulm.edu)**. Use of a University e-mail enables the Ethics Liaison to complete a group search for employees who have completed their annual training. The use of a personal e-mail address for online training is strongly discouraged. The online training module, once completed, enables the Employee to print a certificate of completion.

In the event that the Ethics Training is unavailable on the ULM Online Training System, Employees can access the Board of Ethics Training Portal directly at the following address: <https://laethics.net/EthicsTraining/login.aspx>.

In-person Training

Employees completing in-person training are to attend a live training session either conducted by a Louisiana Board of Ethics Staff Member or proctored by an Ethics Liaison. The University has no scheduled in-person training sessions and is providing most of all required training online, regardless of the subject. The Louisiana Board of Ethics will generate attendance records for any in-person trainings conducted by the Board.

Employees attending a training proctored by an Ethics Liaison sign a certificate of completion to be returned to the Ethics Liaison, who forwards it to the Louisiana Board of Ethics.

Record Retention

The Louisiana Board of Ethics keeps records that it generates or receives of public employees' compliance with the annual ethics training requirements. Employees may search the attendance records on the Board's website.

For trainings proctored by the Ethics Liaison, an attendance list, as determined by the Board's rules, must be obtained by the Liaison and submitted electronically to the Board within 30 days of the training in order for the Board to retain attendance records. Additionally, the Liaison obtains a signed verification of attendance from all employees attending the in-person training. The University retains attendance documentation for proctored trainings for a minimum of four (4) years.

The Ethics Liaison works with the Department of Human Resources to generate and disseminate Employee Ethics Training Completion Lists by division to Division Heads and Supervisors. The lists are provided on a monthly basis to track and verify Ethics Training Completion.

The Ethics Liaison will generate a final Employee Ethics Training Completion List for each calendar year. A copy of the list will be provided to the University President, Division Heads and Human Resources.

An Employee or Supervisor who wishes to verify completion of training can go to the Louisiana Board of Ethics website and look for an individual by name and year at the following address:
<https://eap.ethics.la.gov/TrainerLiaison/Search/SearchAllCompleted.aspx>

VI. Enforcement

Each Division Head is responsible for the enforcement of the policy within his/her division.

Failure to comply with the training requirement constitutes a violation of the Louisiana Governmental Code of Ethics and a violation of ULM's Ethics Education and Training Policy.

A list of employees who have not completed the required training will be provided by the University to the Louisiana Board of Ethics. The Louisiana Board of Ethics has the ability to impose sanctions on public employees who have not complied in a timely manner with the annual training requirement.

The University will impose progressive disciplinary action upon any employee who does not complete the annual ethics training requirement by the University imposed deadline.

VII. Policy Management

The Vice President for Business Affairs is the Responsible Executive for the management of this policy. The Responsible Officers are the Director of Human Resources and the Ethics Liaison. The Responsible Office is the Department of Human Resources.

VIII. Exclusions

Employees who have been hired to work for only a few days within a calendar year may be exempt from the Ethics Education and Training requirement. Supervisors are directed to contact the ULM Ethics Liaison who will discuss any such employee with the Director of Human Resources to determine if an exemption can be provided.

IX. Effective Date

The effective date of this policy is the date it is adopted and signed by the Vice President for Business Affairs.

X. Adoption

This policy is hereby adopted on this 11th day of July, 2018.



Dr. Bill Graves, Vice President for Business Affairs

XI. Appendices, References and Related Materials

Louisiana Revised Statutes 42:1101 – Code of Governmental Ethics Part 1. General Provisions
<https://legis.la.gov/Legis/Law.aspx?d=99213>

Louisiana Code of Governmental Ethics
<https://www.crt.state.la.us/Assets/OCD/hp/grants/certifiedlocalgovernment/documents-and-forms/LA%20Code%20of%20Governmental%20Ethics.pdf>

Louisiana Revised Statutes 42:1170 (mandating ethics education for all public servants)
<https://legis.la.gov/Legis/Law.aspx?d=99264>

Louisiana Administrative Code Title 52 (Louisiana Board of Ethics Rules)
<http://ethics.la.gov/Pub/Other/rules.pdf>

University of Louisiana System Board of Supervisors Policy and Procedures Manual, Associated Document, “Ethics Training Guidelines,” June 25, 2012
<https://25260-presscdn-pagely.netdna-ssl.com/wp-content/uploads/2017/11/ETHICS-TRAINING-GUIDELINES.pdf>

XII. Revision History

Original adoption date: November 17, 2014

Revised July 11, 2018: Revisions include the use of the new policy format, as well as expansions of all areas of the policy.