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Title 52
ETHICS
Part I. Board of Ethics

Chapter 1. Definitions

§101. Definitions

Adversarial Public Hearing—any public hearing conducted by the board, or any other related matter, concerning charges issued, or a public hearing concerning a person's failure to pay late fees.

Affected Person—any person or governmental agency, or the authorized representative of such person or agency with a demonstrable and objective interest in the board's interpretation, construction, and application of any law within the board's jurisdiction.

Campaign Finance Disclosure Act—refers to R.S. 18:1481 et seq.

Code—refers to the *Code of Governmental Ethics*, R.S. 42:1101 et seq.

Collection Agency—a person selected by the board, which has collection sites throughout the state of Louisiana.

Consent Opinion—a written decision and order of the board issued with the agreement of the respondent in order to publicly settle any matter which appears to be a violation of any law within the board's jurisdiction in lieu of filing charges, holding a public hearing, or filing a civil action.

Designated Representative—a board-appointed member of the staff of the Ethics Administration Program, whose primary responsibility includes overseeing the implementation of the program to enforce the random drug testing of elected officials.

Elections Integrity—refers to R.S. 18:41 et seq.

Emergency—an unforeseen combination of circumstances that calls for immediate action.

Ethics Administration Program—the unit of the Department of Civil Service and those employees who provide staff support for the board.

Executive Branch Lobbyist Disclosure Act—refers to R.S. 49:71 et seq.

Fact-Finding—the process, initiated by the board, whereby the staff, under the supervision of the ethics administrator, gathers information so that proper disposition can be made by the board on requests for advisory opinions, media reports, and verbal reports. With respect to media reports and verbal reports, fact-finding means only the solicitation of a written response by the ethics administrator or his designee from the respondent of the fact-finding.

He or *His*—when used as a pronoun includes either gender or a legal entity, whether singular or plural, except as otherwise clearly indicated by the context.

Legislative Branch Lobbyist Disclosure Act—refers to R.S. 24:50 et seq.

Lobbyist Disclosure Act—refers to R.S. 24:50 et seq., and R.S. 49:71 et seq.

Person Aggrieved—any person who was the subject of a complaint or an investigation or any person to whom notice of charges was issued.

Person Authorized by an Elected Official—a person or persons selected by the elected official who may receive notice of selection for testing. If the elected official chooses to select such a person to receive notice, the name and address of such person shall be provided by the elected official to the designated representative.

Publication or *Publish*—the process whereby the staff places the board's decision in written form for the board's approval and signature and thereafter sends a copy to any interested person. Nothing herein shall alter the confidentiality of those matters confidential by law.

Random Number—the number assigned to the elected official, which ensures the confidentiality of the testing process.

Random Number Selector—a person selected by the board, responsible for the selection of those elected officials subject to the random drug testing.

Random Process—a generally accepted method to ensure that the elected officials are chosen by their random numbers in an unsystematic manner.

Respondent—any person who is the subject of charges filed by the board.

Staff—the ethics administrator, the executive secretary and the employees of the Ethics Administration Program.

Supervisory Committee—the Board of Ethics or any panel thereof with jurisdiction over matters involving campaign finance disclosure.

Trial Attorney—the attorney or attorneys designated by the chairman pursuant to §501 of these rules.

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1288 (October 1997), amended LR 24:1893 (October 1998), LR 30:2668, 2687 (December 2004), LR 31:1227 (June 2005).

Chapter 2. Organization, Rules, Procedures, and Powers of the Board

§201. Election of the Chairman and Vice-Chairman

A. The chairman and vice-chairman shall be elected for a two-year term at the first meeting held following January 1 of each odd-numbered year commencing with January 1, 1997.

B. In case of a vacancy in the office of chairman or vice-chairman, the board shall elect a new chairman or vice-chairman who shall serve until the expiration of the vacated term.

C. The chairman shall:

1. preside at all meetings of the board when present;

2. assign matters to the appropriate panel for investigation;

3. act or direct the staff to act between meetings of the board on routine matters involving scheduling, docketing, appearances, continuances, and postponements;

4. provide direction on behalf of the board between meetings to the board's counsel during litigation; and

5. perform all other duties pertaining to the office of chairman or as may be assigned to him by the board.

D. In the absence of the chairman, the vice-chairman shall perform all the duties of the chairman.

E. During the course of an adjudication, the board may, by a majority vote of its participating members and with the concurrence of the chairman, designate a member who is an attorney to act as the presiding officer during the adjudication.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1289 (October 1997).

§202. Powers of the Board

A. The board is empowered to:

1. administer and enforce any law within its jurisdiction;

2. represent the public interest in the administration of any law within its jurisdiction;

3. offer and enter into consent opinions regarding violations of the provisions of any law within its jurisdiction;

4. refer to fact-finding media reports, verbal reports, or requests for advisory opinions;

5. prescribe rules of order, evidence and procedure to govern its meetings, hearings, and investigations;

6. take such steps as may be necessary to maintain proper order and decorum during the course of its hearings and other proceedings, consistent with the resolution of matters coming before it for consideration; and

7. include on the agenda for board consideration any matter of interest to any board member which is within the board's jurisdiction.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1289 (October 1997).

§203. Panels of the Board

A. The board may, by a majority vote of its membership, implement the provisions of R.S. 42:1141(A) through the selection of panels at any time it deems appropriate. The subject matter jurisdiction of each such panel shall be determined by the board.

B. Each panel shall consist of three or more members of the board. The chairman of the board may participate in all meetings of any panel. The presence of at least three members of a panel shall be required to conduct the business of the panel.

C. The panels may be implemented by a majority vote of participating members of the board.

D. Each panel shall elect a chairman and may select a vice-chairman who shall serve at the pleasure of the panel. It shall be the duty of the chairman of the panel to preside at all meetings of the panel and to perform all other duties pertaining to this office.

E. Each panel shall meet at such time and place as may be fixed by the panel.

F. Except as otherwise provided by law, any determination by a panel shall be made by not less than three members or by a majority of those members participating, whichever is greater.

G. The board, by majority vote of its membership, may review any opinion, decision, finding, or ruling of any panel.

H. Any person aggrieved by any action taken by a panel may file with the board a written request for review of the panel's action. The request shall set forth the facts and law which justify review by the board and shall be filed within 14 days of the date the decision of the panel is published. The board shall determine whether or not to review the panel's decision within 14 days of the filing of the request for review.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1289 (October 1997).

§204. Meetings

A. The board shall meet at such time and place as may be fixed by the board.

B. Notice of each meeting shall be given to all members of the board.

C. Notice of each meeting shall be given to the general public in accordance with R.S. 42:7.

D. All meetings shall be open to the public, except as otherwise provided by law.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1289 (October 1997).

§205. Quorum and Voting

A. Six members of the board shall constitute a quorum for the transaction of the business of the board.

B. The presence of nine members shall be required to conduct the business of the board sitting en banc.

C. Two-thirds of the membership of the board shall be eight members of the board.

D. The concurrence of a majority of the members participating shall constitute a ruling upon an item of business before the board, except as otherwise provided by law.

E. Brief absences during the consideration of an item of business shall not disqualify a member from voting on said item.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1289 (October 1997).

§206. Executive Secretary to the Board

A. The board shall appoint an executive secretary.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1290 (October 1997).

§207. Minutes of Proceedings

A. The minutes of the proceedings of the board and any panel thereof shall be prepared and maintained by the executive secretary or his designee on behalf of and subject to the approval of 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 23:1290 (October 1997).

Chapter 3. Duties of the Executive Secretary

§301. Duties of the Executive Secretary

A. The executive secretary or his designee shall:

1. act as the board's secretary; attend all of its meetings; and keep minutes of its proceedings;

2. carry out the directives, orders, and assignments of the board;

3. prepare such reports as the board may request regarding its work;

4. issue subpoenas and subpoenas duces tecum;

5. act between meetings of the board on routine matters not requiring board approval;

6. provide normal staff services in support of the board's activities;

7. notify, in writing, the appropriate appointing authority of the pending expiration of the term of each board member;

8. receive all reports filed by political committees and candidates pursuant to the provisions of the Campaign Finance Disclosure Act;

9. receive all complaints filed pursuant to the provisions of any law within the board's jurisdiction;

10. receive all reports filed pursuant to the provisions of the Lobbyist Disclosure Act and the Executive Branch Lobbyist Disclosure Act.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1290 (October 1997), amended LR 31:1227 (June 2005).

§302. Oaths and Affirmations

A. The executive secretary, if a notary, shall have power to administer oaths in matters related to the business of 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 23:1290 (October 1997).

Chapter 4. Designated Duties of the Ethics Administrator

§401. Duties of the Ethics Administrator

A. The ethics administrator or his designee shall:

1. serve as general counsel to the board and shall provide general office management;

2. assume, carry out, and generally discharge those responsibilities incumbent upon the ethics administrator, as determined by class specifications published by the Department of Civil Service;

3. conduct educational activities and seminars regarding any law within the board's jurisdiction open to all public servants in all state and local agencies and persons who do business with such agencies;

4. provide information and material, in booklet form, by seminar or by other means, to any individual appointed to a public board or commission regarding the provisions of the *Code of Governmental Ethics* applicable to such appointed positions;

5. publish newsletters and information bulletins regarding any law within the board's jurisdiction;

6. provide oral information and training regarding campaign finance disclosure, lobbying, and ethics;

7. manage the computerized data management system for the collection and dissemination of any material or reports required to be filed with the board pursuant to any law within its jurisdiction.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1290 (October 1997).

§402. Oaths and Affirmations

A. The ethics administrator, if a notary, shall have power to administer oaths in matters related to the business of 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 23:1290 (October 1997).

Chapter 5. Designated Duties of the Trial Attorney

§501. Designation

A. The chairman, with the concurrence of a majority of the board, shall, with respect to each case in which charges have been filed and noticed for public hearing, designate an attorney to serve as trial attorney. The chairman shall make such designation, to the extent practicable, at the time charges are filed. Thereafter, the chairman may change the designation upon notice to the respondent.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1290 (October 1997).

§502. Duties

A. It shall be the responsibility of the trial attorney to marshall the evidence with respect to the proposed public hearing, cause all subpoenas and subpoenas duces tecum to be issued, and to present evidence and argument during the course of the public hearing in support of the stated charges.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1290 (October 1997).

§503. *Ex Parte* Communications

A. The designated trial attorney shall refrain from *ex parte* communications with the board and attorneys designated to advise the board or responsible for assisting in writing the opinion of the board, except as is otherwise specifically provided for in the Administrative Procedure Act, §960.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1291 (October 1997).

§504. Disqualification

A. With respect to a particular public hearing, the trial attorney shall not give nor shall the board receive advice and counsel, and shall be disqualified from any authority or responsibility with respect to the formulation of the board's opinion.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1291 (October 1997).

Chapter 6. Advisory Opinions

§601. General Requirements

A. The board shall receive requests for advisory opinions filed with it by affected persons. Requests for advisory opinions shall be in writing, state the name and address of the person requesting the advisory opinion, disclose his interest in the question presented, state the governmental agency and/or individual involved, specifically describe the transaction involved, be signed by the person making the request, and state sufficient facts to enable the board to respond. The board may decline to render an opinion with regard to any such request.

B. The board may on its own motion render an advisory opinion regarding any law within its jurisdiction.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1291 (October 1997).

§602. Dating and Docketing

A. The ethics administrator shall cause the date of receipt to be noted on each request for an advisory opinion. A docket shall be maintained upon which each request shall be given an appropriate caption and number.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1291 (October 1997).

§603. Placement on Agenda

A. All requests for advisory opinions shall be placed for consideration on the general or consent agenda as soon as practicable.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1291 (October 1997).

§604. Consent Agenda

A. The staff shall research and prepare a consent agenda of proposed advisory opinions consisting only of those advisory opinions which are based on and consistent with prior opinions and decisions of the board or its predecessors.

B. The board may review and revise any opinion prepared by the staff contained on the consent agenda.

C. If a member of the board objects to considering a proposed advisory opinion on the consent agenda, the item shall not be considered on the consent agenda but shall be placed on the general agenda.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1291 (October 1997).

§605. Emergency Opinions

A. Where the ethics administrator, upon receipt of a request for an advisory opinion, determines that an emergency exists and that said opinion must be rendered prior to the next regularly scheduled meeting of the board, the ethics administrator may, after consultation with the chairman of the board, issue an advisory opinion, in writing. Such opinion, issued by the ethics administrator, may be relied upon with impunity until such time as the board adopts a contrary or qualifying opinion. Such opinion, issued by the ethics administrator, shall be placed on the general agenda at the next meeting of the board at which time the board shall either confirm, modify, or reject the opinion.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1291 (October 1997).

§606. Presentation of Requests

A. All requests for advisory opinions shall be presented to the board by the staff at a public meeting. Following the presentation, the board shall decline the request, defer action thereon pending further fact-finding, declare its opinion, or take the request under advisement.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1291 (October 1997).

§607. Withdrawal

A. The board may allow a request for an advisory opinion to be withdrawn if the person who submitted the request provides written reasons for withdrawal which the board deems sufficient.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1291 (October 1997).

§608. Notification

A. The staff of the board shall provide the person requesting an advisory opinion written notification of the board's action within 30 days after such action.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1291 (October 1997).

§609. Reconsideration

A. Any affected person may file a request for reconsideration of an advisory opinion rendered by the board. No such request shall be considered by the board unless it is received by the staff within 30 days from the date of mailing of the advisory opinion which is the subject of the request for reconsideration.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1291 (October 1997).

§610. Finality

A. An advisory opinion rendered by the board shall be final on the date of mailing of the advisory opinion, if there has been no timely request for reconsideration of the advisory opinion in accordance with §609, or thereafter upon order of 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 26:627 (April 2000).

§611. Persons to be Heard

A. At any time during the board's general agenda, opportunity to appear before the board shall be provided to persons who would like to comment on an item of the board’s general agenda, excluding those items scheduled as adversarial public hearings.

B. Subject to the provisions of this Section, the chairman shall have the authority to regulate the course of comments in connection with an item before the board, including the authority to begin and terminate the consideration of an item before the board, to continue consideration of the item to another time or location, and to limit comments which would be excessively cumulative or not related to the purpose of the matter; provided that nothing herein shall be construed to prevent the right of any citizen to speak at a public meeting.

C. Any person requesting to appear before the board, shall notify the executive secretary of their interest in the matter, and the group, organization or company they represent, if any, prior to the item being called by the board for consideration. Regarding comments provided before the board, the chairman shall give first preference for speaking to the person submitting the item to the board and second preference to any person who is the subject of the matter submitted. Thereafter the chairman shall allow those persons who have notified the executive secretary of their wish to appear before the board in order of the receipt of said notification. The chairman may fix the maximum amount of time that each person has to provide comments. The chairman shall allot the time in an equitable manner among those persons who are to be heard.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 30:2668 (December 2004).

Chapter 7. Complaints

§701 General Requirements

A. The board shall consider any signed complaint from any elector concerning a violation of any law within its jurisdiction or the regulations or orders issued by the board. The complaint may be based on firsthand knowledge or on information and belief. Upon consideration of a complaint, the board may close the file, refer the complaint to investigation, or take such other action as it deems appropriate.

B. If the board receives a signed sworn complaint from any elector that does not present a potential violation of any law within its jurisdiction or the regulations or orders issued by the board, the board shall not initiate an investigation and will notify the complainant that the board declined to initiate an investigation and, accordingly, closed the file.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1292 (October 1997), amended LR 30:2668 (December 2004).

§702. Dating and Docketing

A. The executive secretary shall cause the date of receipt to be noted on each complaint. The complaint shall be deemed filed only upon the board's initial consideration of same at a convened meeting. A docket shall be maintained upon which each complaint shall be given an appropriate caption and number.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1292 (October 1997).

§703. Consideration of Other Information Concerning Possible Violations

A. Except as otherwise provided by law, the board may, by two-thirds majority vote (eight votes) of its membership, consider any matter which it has reason to believe may be a violation of any law within its jurisdiction including, but not limited to, a notice or report sent to the board by the legislative auditor, the inspector general, or otherwise received, and on such consideration may close the file, refer the matter to investigation, or take such other action as it deems appropriate.

B. If less than eight members of the board are participating at a convened meeting, then any matters described in §703.A shall be returned by the executive secretary to the board's agenda for the next scheduled meeting.

C. If at least eight members of the board are participating at a convened meeting, then a vote shall be taken on any matters described in §703.A, and such vote shall be conclusive as to each such matter.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1292 (October 1997), amended LR 39:1415 (June 2013).

§704. Notification of Investigation

A. If the board votes to refer a matter to investigation the executive secretary shall mail by certified mail a certified copy of the vote and an explanation of the matter to the subject of the non-sworn complaint or other matter as provided in §703 of these rules within 10 days after the vote occurs, along with a copy any complaint which redacts information about the identity of the complainant.

B. The executive secretary shall mail by certified mail a copy of the sworn complaint if one has been submitted to the board to the subject of the sworn complaint and the complainant within 10 days after the sworn complaint is received and considered.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1292 (October 1997), amended LR 30:2668 (December 2004), LR 39:1415 (June 2013).

§705. Fact-Finding

A. The board may, by majority vote of its participating members, refer media reports or verbal reports to fact-finding. The ethics administrator or his designee shall only engage in the requesting of a written response from the person who is the subject of the fact-finding and shall return the matter in not more than 60 days to the board's agenda, at which time the board shall take such action as it deems necessary including, but not limited to, voting to consider a matter, as provided in §703 of these rules.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1292 (October 1997).

§706. Withdrawal

A. If the complainant wishes to withdraw the complaint prior to the board's commencement of its investigation, withdrawal shall be allowed, except in cases where the board, by two-thirds majority vote of its membership, determines the issues to be of such importance as to warrant ordering the investigation in its own right and in the interest of the public welfare.

B. The executive secretary shall notify the complainant, by mail, of the board's decision with respect to the complainant's request for withdrawal within 10 days after the vote occurs. If the board votes to continue its investigation, then the notice provisions of §704 of these rules shall apply.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1292 (October 1997).

§707. Elections Integrity

A. Except as otherwise provided in §707, the general provisions relating to complaints shall apply to complaints filed regarding violations of elections integrity.

B. The board may investigate violations of elections integrity only upon receipt of a sworn statement by any voter of this state alleging error, fraud, irregularity, or other unlawful activity in the conduct of an election for the office of governor, lieutenant governor, secretary of state, state treasurer, attorney general, commissioner of elections, commissioner of agriculture, commissioner of insurance, United States Senator, United States Congressman, public service commissioner, member of the state Board of Elementary and Secondary Education, and justice of the Supreme Court.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1292 (October 1997).

Chapter 8. Investigations

§801. Referrals to Investigation

A. When the board orders an investigation, it shall be the staff of the board that conducts the investigation and completes the investigation report.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 39:1415 (June 2013).

§802. Board Investigation

A. Upon completion of an investigation, the report shall be presented to the board by its attorney(s) and shall be reviewed by the board. The board shall decide whether:

1. further investigation is necessary;

2. charges should be filed;

3. a consent opinion should be offered; or

4. the file should be closed in order to serve the public interest or because no violation occurred.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1293 (October 1997), amended LR 39:1415 (June 2013).

§803. Panel Recommendation; Procedure

A. If the board elects to sit in panels and an investigation is ordered by the board, once the investigation is completed and the report reviewed by the panel, the panel shall make a recommendation to the board that:

1. further investigation is necessary;

2. charges should be filed;

3. a consent opinion should be offered; or

4. the file should be closed in order to serve the public interest or because no violation occurred.

B. After receiving the panel's recommendation, the board shall determine whether to accept the panel's recommendation or to take such other action as it deems appropriate.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1293 (October 1997), amended LR 39:1415 (June 2013).

§804. Investigation; Procedure

A. During the course of an investigation, subpoena duces tecums and subpoenas may be issued to a respondent or witness at the request of the staff of the investigative division of the board. The subpoena duces tecums and subpoenas shall be issued by the executive secretary of the board upon presentation of a factual basis alleging a nexus between the object of the subpoena duces tecum and evidence of a possible violation of a law under the jurisdiction of the board. The factual basis used to issue the subpoena shall be a confidential document pursuant to R.S. 42:1141.4(K) and shall not be dispensed to the public, respondent, or the recipient of the subpoena.

B. During the course of the investigation, interrogatories may be issued by the staff of the investigative division of the board.

C. Subpoenas, subpoenas duces tecum, and interrogatories may be served on a person in any of the following manners:

1. by personal service upon the person or his attorney of record by any law enforcement officer or agent of the board;

2. by domiciliary service upon a person of majority age at the residence of the person by any law enforcement officer or agent of the board;

3. by certified mail, return receipt requested to the person or his attorney of record; or

4. service may be waived by the person or his attorney of record.

D. The return of documents or testimony of a respondent or witness pursuant to a subpoena or subpoena duces tecum shall be made under oath administered by the board, a member of the board's staff or a court reporter.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORIAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 39:1415 June 2013).

§806. Investigations; Confidential

A. All investigations shall be privileged and confidential.

B. All investigations shall be conducted at the direction of an attorney for the board.

C. The board or its staff shall not disclose subpoenas served, documents requested, or any information or documents gained from its investigations to any person or the general public, except under the following situations:

1. to a respondent or potential witness with sufficient information in order to allow for proper preparation for an interview, subpoena or document production; and

2. to afford a respondent or witness an opportunity to address evidence or testimony gained from another source. The disclosure of such information is at the sole discretion of the investigative and legal staff of the board.

D. The confidential nature of investigations shall encompass and prohibit the disclosure by a respondent or by a witness of any interview conducted, subpoena served, document requested, document delivered, testimony given, question asked and any other evidence provided.

E. A respondent or witness is not entitled to be present or participate in the interview or deposition of any other witness.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORIAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 39:1416 (June 2013).

§808. Investigations; Investigation Reports

A. All documents, testimony or other information received by the staff of the board in connection with an investigation shall be privileged and protected from disclosure absent the waiver of said privilege by the board.

B. An investigative report shall be presented to the board by its attorney(s) for its consideration and deliberation in executive session.

C. In executive session, the board shall receive the presentation of the investigative report by its attorney(s) and review all relevant information and documents within the board's possession and knowledge and, thereafter, take one of the following actions:

1. order further investigation;

2. file charges; or

3. close the file.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORIAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 39:1416 (June 2013).

Chapter 9. Consent Opinions

§901. General

A. The board may, in its sole discretion, offer consent opinions to those persons alleged to have violated any law within its jurisdiction.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1293 (October 1997).

§902. Procedures

A. If the board decides to offer a consent opinion, it shall direct its staff to prepare a draft to be sent to the subject of the allegation for acceptance, modification, or rejection. If the subject of the allegation accepts the terms of the proposed consent opinion, then the opinion shall be placed on the board's executive agenda for review. The board shall have the option to reject a proposed consent opinion and take further appropriate action. If the opinion is accepted by the board, the opinion shall be placed on the board's general business agenda for adoption and publication. If the subject of the allegation refuses the offer, then the item shall be placed upon the board's agenda for further action.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1293 (October 1997), amended LR 30:2669 (December 2004).

Chapter 10. Hearings

§1002. Initiating Declaratory Hearings

A. Declaratory hearings may be conducted, at the discretion of the board, upon submission of an application pursuant to R.S. 42:1141.1.

B. The application shall be in writing and shall contain the following information:

1. the name, address, and telephone number of the applicant;

2. identification of the statutes, rules or opinions subject of the application;

3. the question presented to the board for ruling;

4. a concise statement of all particular facts necessary and sufficient to accomplish the following:

a. to show the nature of the controversy or uncertainty and the manner in which the rule or statute on which the declaratory ruling is sought applies or potentially applies to the applicant; and

b. to answer the question presented to the board for ruling.

5. a statement identifying all statutes, rules, or opinions that are relevant to the question presented by the applicant;

6. a statement of the reasons for submitting the application, including a full disclosure of the petitioner's interest in obtaining the declaratory opinion;

7. a statement as to whether the question presented by the applicant is presently pending before or under consideration by the board or any other administrative, legislative, or adjudicative body;

8. a statement as to whether the applicant has some other adequate legal remedy that will terminate the controversy or remove any uncertainty as to the applicability to the applicant or the circumstances cited of the statute, rule or opinion in question; and

9. an affidavit that verifies the facts stated in the application are true and correctly stated, and the verification is based on the documents attached to or identified in the application or based on the affiant's personal knowledge.

C. The application for declaratory opinion should be filed with the executive secretary of the Louisiana Board of Ethics.

D. The application for declaratory opinion may be accompanied by a memorandum urging the department to issue a declaratory opinion of specified content. Such memorandum shall not exceed 25 pages in length, exclusive of cover pages, table of content, index of authority and exhibits.

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1293 (October 1997), amended LR 39:1416 (June 2013).

§1003. Assigning Declaratory Hearings

A. After receipt of the application, the board or panel thereof, at its next scheduled board meeting, if the application is granted, shall fix the time and place for the hearing on the applications.

B. For cause considered justifiable, the board or a panel thereof, the chairman, or its executive secretary, may upset any fixing and give the hearing a special assignment both as to time and place, with appropriate notification to all interested parties.

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1293 (October 1997), amended LR 39:1417 (June 2013).

§1008. Evidence

A. Except as otherwise provided in the Administrative Procedure Act, the board may admit and give probative effect to evidence which possesses probative value commonly accepted by reasonably prudent men in the conduct of their affairs. The board may exclude incompetent, irrelevant, immaterial, and unduly repetitious evidence. Objections to evidentiary offers may be made and shall be noted in the record.

B. The board may limit corroborative evidence.

C. When a ruling is made excluding evidence, counsel may dictate into the record as a proffer available to be considered in the case of appellate review, the facts to be proven if the excluded evidence had been admitted.

D. The charges may be enlarged to conform with the evidence admitted.

E. The board shall give effect to the rules of privilege recognized by law.

F. All evidence, including records and documents in the possession of the board of which it desires to avail itself, shall be offered and made a part of the record, and all such documentary evidence may be received in the form of copies or excerpts, or by incorporation by reference. In case of incorporation by reference, the materials so incorporated shall be available for examination by the parties before being received in evidence. The authenticity of any such copies shall be presumed.

G. The board may take notice of judicially cognizable facts and federal census data.

H. The board may take notice of the provisions of any law within its jurisdiction without the necessity of an offer in evidence.

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1294 (October 1997).

§1009. Subpoena of Witnesses and Production of Documents

A. The board, the ethics administrator, the executive secretary, and any specially designated agent of the board, shall have power to order the appearance of witnesses and to compel the production of books and papers pertinent to the issues involved in the hearing.

B. Any applicant desiring the issuance of a subpoena for any witness at the public hearing must apply for it, in writing, at least 10 days before the date fixed for the hearing and must give the name and physical address of the witness to whom the subpoena is to be directed.

C. In lieu of the issuance and service of formal subpoenas to state employees, the board or any person authorized by §1009.A, may request any agency to order any designated employee under its supervision to attend and testify at the hearing, and, upon being so ordered, the employee shall appear and furnish testimony.

D. Any applicant desiring the production of books, papers, photographs, or other items at any public hearing must apply for an appropriate order, in writing, at least 10 days before the date fixed for the hearing. Such request for the issuance of a subpoena duces tecum must describe the books or papers to be produced in sufficient detail for identification, must give the full name and physical address of the person required to make such production and the materiality of their production to the issues must be certified to by the applicant or his counsel.

E. A subpoena duces tecum issued pursuant to §1009 shall be returnable at the hearing or at such earlier date, time, and place as specified therein.

F. Authenticated copies of books, papers, photographs, or other items in the custody of any agency of the state, or any subdivision thereof, which have been subpoenaed may be admitted in evidence with the same effect as the originals, but if original books, papers, photographs, or other items are subpoenaed, they must be produced and made available for inspection, even though authenticated copies may be subsequently introduced.

G. The board or its chairman may, for cause deemed sufficient, issue an appropriate order at any time recalling any subpoena, subpoena duces tecum, or request issued by it or him under the provisions of this rule. The applicant may likewise obtain an order from the board recalling any subpoena, subpoena duces tecum, or request issued or caused to be issued by him.

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1295 (October 1997), amended LR 39:1417 (June 2013).

§1010. Exclusion of Witnesses

A. The board, on request of any applicant, an attorney for an applicant or the trial attorney, shall, or on its own motion, may order that the witnesses in any hearing be excluded so as to preclude any witnesses, other than the

applicants, their attorneys and the trial attorney, from hearing the testimony of any other witnesses. If so ordered, all witnesses shall be administered an oath and admonished not to discuss their testimony until the conclusion of the proceeding, except with counsel.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1295 (October 1997), amended LR 39:1417 (June 2013).

§1012. Consolidation of Public Hearings

A. When applications for declaratory opinions of two or more applicants involve similar or related circumstances, the board may, on its own motion, on motion of the trial attorney or on motion of an applicant, order a joint hearing of all applicants or may order separate hearings for specified applicants.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1295 (October 1997), amended LR 26:627 (April 2000), LR 39:1417 (June 2013).

§1013. Transcripts of Hearings

A. The proceedings of all hearings shall be recorded, but shall be transcribed only upon order of the board or upon request made by an applicant therein, accompanied by proffer of such cost as may be determined by the executive secretary.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1296 (October 1997), amended LR 39:1417 (June 2013).

§1014. Witness Fees in Hearings

A. The travel expenses of an officer or employee of a state agency who is required to appear before the board shall be paid by the agency which employs him.

B. The board may order that any person who is not an officer or employee of a state department and who is subpoenaed to testify or provide documents at a public hearing shall be entitled to the same mileage and fees as are allowed witnesses in civil cases by the Nineteenth Judicial District Court for the Parish of East Baton Rouge.

C. If a witness is subpoenaed at the request of the applicant, the board may order the same cost of witness fees and mileage to be paid by the applicant.

D. The board or the executive secretary, before issuing a subpoena, may require the party requesting the subpoena to deposit with the executive secretary a sum sufficient to cover the mileage costs and witness fees, pending a determination of costs by 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 23:1296 (October 1997), amended LR 39:1418 (June 2013).

§1017. Board Action Following Hearings

A. Following the close of a hearing, the board may either render its opinion or take the matter under advisement. In either event, the board may deliberate in general or executive session for the purpose of reaching a determination. The opinion may be made orally by dictating findings of fact and conclusions of law into the record or by causing a written opinion to be confected. If the matter is taken under advisement, the board shall have 90 days within which to render a decision.

B. In the event the board chooses to publish a written opinion, the board shall not receive assistance from the trial attorney in drafting and publishing its written opinion.

C. Except as otherwise specifically ordered by the board, the decision of the board shall be final:

1. on the date of mailing of notice to the applicant of the board's opinion, along with a certified copy of the approved minutes of the board, if the board renders its decision orally; or

2. on the tenth day following the publication of its opinion, if the board chooses to have a written opinion confected, if there has been no timely application for rehearing in accordance with §1019.

D. The executive secretary shall notify the applicant, or his counsel, of the board's decision, in writing, within 10 days of the board's final decision.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1296 (October 1997), amended LR 39:1418 (June 2013).

§1018. Rehearings

A. Any person aggrieved may apply to the board for a rehearing, in writing, within 10 days from the date the board's decision becomes final. The grounds for an application for a rehearing shall be that:

1. the opinion is clearly contrary to the law and the evidence;

2. the party has discovered, since the hearing, evidence important to the issues which he could not have, with due diligence, obtained before or during the hearing;

3. there is a showing that issues not previously considered ought to be examined in order to properly dispose of the matter; or

4. there is other good ground for further consideration of issues and the evidence in the public interest.

B. The application for a rehearing shall set forth the grounds which justify such action and shall be accompanied by a written brief or argument in support thereof, along with an affidavit as set forth in §1009.B.9.

C. In the event the board grants a rehearing, a time and place for the rehearing shall be fixed, and the rehearing shall

be confined to those grounds upon which the rehearing was ordered.

D. If an application for rehearing is timely filed, the period within which judicial review, under the applicable statute, must be sought, shall run from the final disposition of such application.

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1296 (October 1997), amended LR 39:1418 (June 2013).

Chapter 11. Pre-Hearing Procedure

§1101. Discovery

A. Any public servant or other person who has been notified that he is to be the subject of a public hearing pursuant to the provisions of R.S. 42:1141(E), and the trial attorney and general counsel for the board shall be entitled to conduct discovery regarding any matter, not privileged, which is relevant to the pending public hearing. It is not grounds for objection that the information sought will be inadmissible at the hearing if the information sought appears reasonably calculated to lead to the discovery of admissible evidence.

B. Upon the filing of charges for violations of any law under the jurisdiction of the board, the respondent and the board, through its trial attorney(s) or general counsel, shall be granted the right of discovery in the following manner.

1. Depositions shall be allowed until within two weeks of trial.

2. All documents intended for admission at trial, motion or hearing shall be copied and delivered to the respondent and to the trial attorney(s). The delivery shall be provided within 15 days of receipt of a request for production of said documents. Additions shall be allowed upon a showing of good cause, lack of bad faith or joint consent.

3. All other documents within the possession of the trial attorney or the respondent or his counsel, except documents that reveal the identity of the complainant or are otherwise privileged, shall be made available for inspection or may be copied within 15 days of receipt of a request for production of said documents.

4. Any exculpatory or mitigating documents, that are not otherwise privileged, shall be delivered to the trial attorney or the respondent or his counsel within 15 days of receipt of a request for production of documents for said documents.

5. An expected witness list shall be produced to the opposing party at least 30 days subsequent to a request for such information. Additions shall be allowed upon a showing of good cause, lack of bad faith or joint consent.

6. All written statements of any witnesses intended to be called at a hearing or trial shall be delivered within 15 days of receipt of a request for production of said documents.

7. No work product of attorneys and no investigation reports shall be delivered to the respondent or his attorney.

8. The trial attorney(s) and any respondent or his attorney may serve upon each other written interrogatories or requests for admissions, pursuant to the provisions of applicable *Code of Civil Procedure* articles, to be answered by the party served within 15 days of receipt. Written interrogatories served in accordance with this provision shall not exceed 35 in number, including subparts.

C. The trial attorney and any respondent may take depositions on oral examination, and pursuant to the provisions of applicable *Code of Civil Procedure* articles, to the extent practicable, of those persons whose names and addresses have been furnished to the respondent pursuant to the provisions of §1101.A.2, and provided further that the taking of said depositions does not unreasonably impede the scheduled hearing. Such depositions shall be admissible in the public hearing, as ordered by the board or any panel thereof or as otherwise provided by law.

D. The trial attorney and any respondent may serve upon each other written interrogatories, pursuant to the provisions of applicable *Code of Civil Procedure* articles, to be answered by the party served within 15 days of receipt. With respect to any public hearing, written interrogatories served in accordance with this provision shall not exceed 35 in number, including Subparts.

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1296 (October 1997), amended LR 39:1418 (June 2013).

§1102. Motions and Exceptions

A. Motions and exceptions may be made before, during, or after a public hearing.

B. Motions and exceptions made before or after the public hearing shall be filed with the appropriate panel of the Ethics Adjudicatory Board. Contradictory motions and exceptions shall be accompanied by a memorandum which shall set forth a concise statement of the grounds upon which the relief sought is based and the legal authority therefore.

C. A motion for summary judgment may be filed by either the respondent or the trial attorney(s)

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1297 (October 1997), amended LR 39:1419 (June 2013).

Chapter 12. Late Filings

§1201. Late Filing; Notice of Delinquency [Formerly §1202]

A. The staff shall mail, by certified mail, a notice of delinquency within four business days after the due date for

any report or statement, of which the staff knows or has reason to know is due by the filer that is due under any law within the board's jurisdiction which has not been timely filed.

B. If the date on which a report is required to be filed occurs on a weekend or federal or state holiday, the report shall be filed no later than the first working day after the date it would otherwise be due that is not a federal or state holiday.

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1298 (October 1997), amended LR 26:628 (April 2000), LR 30:2669 (December 2004), LR 38:1207 (May 2012), LR 42:1654 (October 2016).

§1203. Late Filing; Assessment of Late Fee

A. The staff of the board shall automatically assess and order the payment of late filing fees for any failure to timely file any report or statement due under any law within the board's jurisdiction in accordance with the law on the assessment of late fees.

B. The assessment and order of the late fee shall be mailed by certified mail to the late filer. If the assessment and order is not claimed by the late filer, the assessment and order shall be served on the late filer via a subpoena of notice.

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1298 (October 1997), amended LR 38:1208 (May 2012), LR 42:1654 (October 2016).

§1205. Late Filing
[Formerly §1204]

A. Definitions. For purposes of §1205, the following definitions shall apply.

Amount of Activity—the total amount of receipts or expenditures, whichever is greater.

Person Regularly Responsible—the person designated by the person required to file a report, in accordance with any law under the jurisdiction of the board, who is responsible for keeping the records and filing the reports on behalf of the required filer.

B. An automatic late fee shall not be assessed, and if one is assessed shall be rescinded by the staff, if the person required to file the report did not file the report for any of the following reasons which occurred on the due date or during the 14 days prior to the date the report was due:

1. death of the person required to file or the person regularly responsible, or a death in their immediate family, as defined in R.S. 42:1102(13);

2. serious medical condition, in the considered judgment of the staff, which prevented the person required to file or the person regularly responsible from filing the report timely;

3. a natural disaster, an act of God, force majeure, a catastrophe, or such other similar occurrence.

C. If a report is filed more than 10 days late and the amount of activity on the report is less than the amount of the late fee to be assessed, the staff may reduce the late fee to the amount of activity or 10 times the per-day penalty, whichever is greater.

D. An automatic late fee for a candidate's campaign finance disclosure report shall not be assessed, and if one is assessed, shall be rescinded by the staff, if the candidate officially withdrew with the Secretary of State from the election and received no contributions or loans and/or made any expenditures, excluding his qualifying fee.

E. An automatic late fee for a candidate personal financial disclosure statement shall not be assessed, and if one is assessed, shall be rescinded by the staff, if the candidate officially withdrew with the Secretary of State from the election.

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1298 (October 1997), amended LR 26:628 (April 2000), LR 31:1227 (June 2005), LR 38:1208 (May 2012), LR 42:1654 (October 2016).

§1207. Late Filing; Waiver
[Formerly §1205]

A. Any person assessed with automatic late filing fees may request a waiver of the late fee, in writing, to the board within 20 days after the receipt of the assessment requiring the payment of late filing fees, setting forth the facts which tend to prove that the late filer had good cause for filing late.

B. The executive secretary shall place all such requests for a waiver on the board's agenda for consideration. If a late filer requests to make an appearance, the executive secretary shall schedule the appearance.

C. At the time of submission of his request for a waiver, the late filer shall submit all information and documentation to support his request.

D. If the board affirms the order assessing the late fee, notice shall be mailed by certified mail to the late filer, notifying him that the order was affirmed.

E. If the board waives the late fee, notice of the board's decision shall be issued by regular mail.

F. If the board alters in any way the assessment of the late fee after consideration of a waiver request, a new order shall be issued by the staff of the board consistent with the decision of the board after consideration of the waiver request. The new order shall be sent to the late filer in the manner set forth in §1203.B.

G. Within 20 days of receipt of the notice of the board's decision on the waiver request, the late filer may seek reconsideration of the board's decision only upon submission of information not provided or available to the board during its initial consideration of the matter.

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1298 (October 1997), amended LR 30:2669 (December 2004), LR 38:1208 (May 2012), LR 42:1654 (October 2016).

§1209. Late Filing; Appeal

A. Any person ordered to pay late filing fees pursuant to §1203 may appeal the order to the Ethics Adjudicatory Board.

B. Notice of the person's intent to appeal should be submitted in writing to the executive secretary of the board within 20 days of the receipt of the order.

C. The notice of intent to appeal shall include all grounds for which the late filer is seeking an appeal, along with any documentation and evidence to be considered by the Ethics Adjudicatory Board.

D. The executive secretary shall forward the notice of appeal, along with the order assessing the late fee and any correspondence concerning the assessment of the late fee to the Ethics Adjudicatory Board. The notice from the executive secretary shall include the name of the attorney for the board and contact information for the late filer.

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 38:1208 (May 2012), amended LR 42:1655 (October 2016).

Chapter 13. Records and Reports

§1301. Custodian

A. The executive secretary shall be the custodian of all records, reports, and files, including electronic reports and files of 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 23:1298 (October 1997), amended LR 25:24 (January 1999).

§1302. Copies

A. The public may request and obtain copies of any public documents or reports filed with the board. The fees for such copies shall be determined in accordance with the fees set by the Division of Administration.

B. Copying fees which exceed $50 shall be by check or money order.

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1298 (October 1997).

§1303. Statements Filed Pursuant to Section 1111(E) of the *Code of Governmental Ethics*

A. Statements filed pursuant to Section 1111(E) of the *Code of Governmental Ethics* shall:

1. be made under oath;

2. be filed with the board prior to or within 10 days after initial assistance is rendered; and

3. contain:

a. the name and address of the elected official;

b. the name and address of the person employing or retaining the official to perform the services;

c. a description of the nature of the work and the amount of the compensation for services rendered or to be rendered;

d. a brief description of the transaction in reference to which services are rendered or to be rendered; and

e. the date of initial assistance rendered.

B. The executive secretary shall maintain these statements suitably indexed.

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1298 (October 1997), amended LR 37:1376 (May 2011).

§1304. Statements Filed Pursuant to Section 1114 and Section 1114.1 of the Code

A. Statements filed pursuant to Section 1114 of the Code shall:

1. be in writing on a form approved by the board;

2. be filed annually no later than May 1 and shall include the required information for the previous calendar year;

3. contain a statement by the filer that the information contained in the statement is true and correct to the best of his knowledge, information and belief, and that no information required to be disclosed by Section 1114 has been deliberately omitted; and

4. be signed by the filer.

B. Statements filed pursuant to Section 1114(A) of the Code shall contain:

1. the amount of income or value of anything of economic value derived;

2. the nature of the business activity;

3. the name and address, and relationship to the public servant, if applicable; and

4. the name and business address of the legal entity, if applicable.

C. Statements filed pursuant to Section 1114(B) of the Code shall contain:

1. the amount of income or value of anything of economic value derived;

2. the nature of the business activity;

3. the name and address, and relationship to the legislator, if applicable; and,

4. the name and business address of the legal entity, if applicable.

D. Statements filed pursuant to Section 1114(C) of the Code shall contain:

1. the amount of income or value of anything of economic value derived;

2. the nature of the business activity;

3. the name and address, and relationship to the elected official, if applicable; and

4. the name and business address of the political subdivision, if applicable.

E. The executive secretary shall maintain these forms suitably indexed.

F. Public servants who fail to accurately disclose information in statements filed pursuant to R.S. 42:1114 and R.S. 42:1141.1 may be assessed, by the board, a late fee of $100 per day, not to exceed a maximum late fee of $2,500, until such information is disclosed by amendment to the appropriate report.

G. For purposes of R.S. 42:1114.1B(1)(b), "third parties" shall not include employees of the members of the legislature, his spouse or any business enterprise in which such member and/or his spouse owns at least 10 percent.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1299 (October 1997), amended LR 26:628 (April 2000).

§1305. Statements Filed Pursuant to Section 1120 of the *Code of Governmental Ethics*

A. Statements filed pursuant to this Section contain:

1. the name and address of the elected official; and

2. a detailed description of the matter in question, including the description of the transaction to be voted upon as well as a description of the nature of the conflict, or potential conflict, and the reasons why despite the conflict the elected official is able to cast a vote that is fair, objective and in the public interest.

B. The executive secretary shall maintain these statements suitably indexed.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1299 (October 1997), amended LR 30:2669 (December 2004).

§1306. Affidavits Filed Pursuant to Section 1123(16) of the *Code of Governmental Ethics*

A. Affidavits filed pursuant to Section 1123(16) of the *Code of Governmental Ethics* shall:

1. be filed within 60 days of making the public speech;

2. be under oath; and

3. contain:

a. the name of the sponsoring group or organization; and

b. the amount expended on behalf of the legislator by the sponsoring group or organization on food, refreshments, lodging, and transportation.

B. The executive secretary shall maintain these statements suitably indexed.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1299 (October 1997).

§1307. Notices Filed Pursuant to Section 56(A) of the Lobbyist Disclosure Act

A. Notices filed pursuant to this Section shall:

1. be filed not less than 30 days prior to the fundraising event;

2. be in writing on a form provided by the board or a form which is substantially the same as the form provided by the board; and

3. contain:

a. the name of the legislator by or for whom the fundraising function is being given;

b. the date of the fundraising function;

c. the location of the fundraising function;

d. a statement that the information contained in the notice is true and accurate and that no required information has been deliberately omitted.

B. When filed by any one other than the legislator, the notice shall also provide the name of the individual, group or organization giving or sponsoring the fundraising function and the statement of accuracy shall be made by the individual or by a representative of the group or organization sponsoring the fundraising event.

C. The executive secretary shall maintain these statements suitably indexed.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1299 (October 1997), amended LR 30:2669 (December 2004).

§1308. Disclosure Forms Filed Pursuant to R.S. 39:1233.1

A. Disclosure forms filed pursuant to R.S. 39:1233.1 shall:

1. be in writing and on the form in §1910;

2. contain:

a. the name and address of the public servant;

b. the public position held by the public servant;

c. the name and address of the bank;

d. the position held with the bank by the public servant and whether that position is compensated or noncompensated; and

e. a description of the transaction from which the public servant recused himself from participating; and

3. be signed by the public servant.

B. The executive secretary shall maintain these forms suitably indexed.

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1299 (October 1997), amended LR 30:2670 (December 2004).

§1309. Disclosure Forms Filed Pursuant to R.S. 42:1119(B)(2) of the Code

A. Disclosure forms filed pursuant to R.S. 42:1119(B)(2)(a) of the code shall:

1. be on a form approved by the board or a form which is substantially the same as the form approved by the board;

2. be filed no later than 30 days after the beginning of the school year;

3. be signed by the school board member or superintendent and contain:

a. the name, address, and position of the school board member or superintendent;

b. the name, relationship, and position of the immediate family member and the date of the family member's employment;

c. the parish in which the school board member or superintendent serves and the date of the commencement of such service; and

d. which of the following exceptions applies to the immediate family member:

i. classroom teacher certified to teach;

ii. employed by school board for more than one year prior to the school board member or the superintendent becoming a member of the school board or the superintendent; or

iii. served in public employment on April 1, 1980, the effective date of the code.

B. Disclosure forms filed pursuant to R.S. 42:1119(B)(2)(b) of the code shall:

1. be in writing and on a form approved by the board or a form which is substantially the same as the form approved by the board;

2. be filed no later than January 30 of each year;

3. be signed by the chief executive or member of the board of a hospital service district or hospital public trust authority and contain:

a. the name, address, and position of the chief executive or member of the board of a hospital service district or hospital public trust authority;

b. the calendar year for which the disclosure statement is being filed;

c. the name, relationship, and position of the immediate family member and the date of the family member's employment;

d. the name of the hospital service district or public trust authority that the chief executive or member of the board of a hospital service district or hospital public trust authority serves and the date of the commencement of such service; and

e. which of the following exceptions applies to the immediate family member:

i. employed by the hospital service district or public trust authority for more than one year prior to the chief executive or member of a board of a hospital service district or hospital public trust authority becoming the chief executive or board member for the hospital service district or hospital public trust authority;

ii. served in public employment on April 1, 1980, the effective date of the code; or

iii. the hospital service district or public trust authority is located in a parish with a population of 100,000 or less and the family member is employed as a licensed physician or registered nurse.

C. The executive secretary shall maintain these forms suitably indexed.

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1300 (October 1997), amended LR 26:629 (April 2000), LR 42:1655 (October 2016).

§1310. Notices Filed Pursuant to Section 56.1A of the Lobbyist Disclosure Act; Fundraisers Held during a Special Legislative Session.

A. Notices filed pursuant to this Section shall:

1. be filed not later than two business days after the issuance of a proclamation stating the object of a special session;

2. be in writing on a form provided by the board or a form which is substantially the same as the form provided by the board; and

3. contain:

a. the name of the legislator by or for whom the fundraising function is being given;

b. the date of the fundraising function;

c. the location of the fundraising function.

B. When filed by anyone other than a legislator, the notice shall also provide the name of the individual, group or organization giving or sponsoring the fundraising function and the statement of accuracy shall be made by the individual or by a representative of the group or organization sponsoring the fundraising event.

C. The executive secretary shall maintain these statements suitably indexed.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 30:2670 (December 2004).

§1311. Records and Reports; Accepting and Filing

A. Any record or report submitted pursuant to this Chapter shall be accepted and filed upon receipt by the staff or upon acknowledgment of receipt by the board's electronic filing system, unless the record or report is not in compliance with the requirements established by this Chapter or by law. The names of the persons submitting records and reports which are accepted and filed shall be listed on the board's agenda. The records and reports which are not in compliance with the requirements established by this Chapter or by law shall be placed upon the board's agenda for further action by 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 23:1300 (October 1997), amended LR 25:24 (January 1999).

§1313. Disclosure Forms Filed Pursuant to R.S. 27:96(A) and R.S. 27:261(A)

A. Disclosure forms filed pursuant to R.S. 27:96(A) and R.S. 27:261(A) shall:

1. be in writing and on a form provided by the board or a form which is substantially similar to the form provided by the board;

2. be filed no later than five days prior to the public officer's performance;

3. contain:

a. the name and address of the public officer;

b. the position held by the public officer;

c. the date, time and place of the performance;

d. the amount of compensation the public officer has contracted to receive for the performance; and

e. the identity of the person or entity providing the compensation;

4. include a copy of the contract.

B. The executive secretary shall maintain these forms suitably indexed.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 30:2670 (December 2004).

§1315. Disclosure Forms Filed by Members of the Gaming Control Board Pursuant to R.S. 27:12(B)

A. Disclosure forms filed pursuant to R.S. 27:12(B) shall:

1. be in writing and on a form provided by the board or a form which is substantially similar to the form provided by the board;

2. filed before confirmation of the Gaming Control Board member and annually thereafter no later than January 31 of each calendar year;

3. contain:

a. the name and address of the member;

b. the position held by the member;

c. all assets and liabilities, property and business interests, and sources of income of the member, the spouse of the member and the minor children of the member; and

d. a sworn affidavit as to its accuracy.

B. The executive secretary shall maintain these forms suitably indexed.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 30:2670 (December 2004).

§1317. Affidavits Filed by Employees and Agents of the Gaming Division Pursuant to R.S. 27:63(B) and R.S. 27:226(B)

A. Affidavits filed pursuant to R.S. 27:63.B and R.S. 27:22.6(B) shall:

1. be in writing and on a form provided by the board or a form which is substantially similar to the form provided by the board;

2. filed at the time of appointment of the employee or agent and annually thereafter no later than May 31 of each calendar year; and

3. contain the name and address of the employee or agent and a statement that neither he nor his spouse has an interest in an applicant licensee or permittee.

B. The executive secretary shall maintain these forms suitably indexed.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 30:2670 (December 2004).

Chapter 14. Disqualification Pursuant to the Provisions of Section 1112(C) of the *Code of Governmental Ethics*

§1401. Application

A. Every public employee, excluding an appointed member of any board or commission, shall disqualify himself from participating in a transaction involving the governmental entity when a violation of Section 1112 of the *Code of Governmental Ethics* would result.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1300 (October 1997).

§1402. Reporting Requirements; General

A. Every public employee, except an agency head, upon determining that he may be compelled to participate in a transaction involving the governmental entity in violation of Section 1112 of the *Code of Governmental Ethics*, shall immediately, and prior to such participation, report the details of the transaction, in writing, to:

1. his immediate supervisor,
2. his agency head, and
3. to the board.

B. Every agency head, upon determining that he may be compelled to participate in a transaction involving the governmental entity in violation of Section 1112 of the *Code of Governmental Ethics*, shall immediately, and prior to such participation, report the details of the transaction, in writing, to his appointing authority and 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 23:1300 (October 1997).

§1403. Reporting Requirements; Impact on Governmental Entity and Alternative Measures

A. Upon receipt of such written communication from the public employee, the immediate supervisor of the public employee, as well as the agency head (or appointing authority, if applicable), shall immediately, and prior to such participation by the public employee, provide the board, in writing, with a report concerning the impact on the efficient operation of the governmental entity of the potential participation by the public employee and shall provide the board with reports as to alternative measures available to the public employee to prevent participation in the prohibited transaction.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1300 (October 1997).

§1404. Action by the Board

A. The proposed disqualification procedure shall be implemented by the public employee and his immediate supervisor, and the public employee shall otherwise refrain from participating in the potential transaction until such time as the board has, in writing, provided the public employee, his immediate supervisor, and his agency head with instructions as to the procedure to avoid participation in the prohibited transaction.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1300 (October 1997).

Chapter 16. The Board as Supervisory Committee of the Louisiana Campaign Finance Disclosure Act

§1601. General

A. The Campaign Finance Disclosure Act provides that the board shall function as the Supervisory Committee on Campaign Finance Disclosure.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1301 (October 1997).

§1602. Political Committees; Names

A. The name of a political committee shall not be the same as, nor deceptively similar to, the name of any other political committee.

B. The name of a political committee organized to support one candidate shall contain the name of that candidate.

C. The name of a political committee supporting or opposing more than one candidate shall not contain the name of an individual, unless the name of the committee in some way clearly reflects that it is not a committee supporting or opposing only that individual.

D. When a political committee uses an acronym in addition to its complete name, each document filed with the supervisory committee shall contain the complete name of the political committee, with the acronym in parenthesis.

E. When the name of a political committee contains a number, the number shall be spelled out in the name and the numerical symbol(s) placed in parenthesis.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1301 (October 1997).

§1603. Political Committees; Filing Fees

A. A fee of $100 shall be remitted to the supervisory committee with each statement of organization required to be filed by a political committee.

B. The $100 fee shall be due only once per calendar year per committee. In the event that an amended statement of organization is filed by a political committee, no additional fee is required to be paid.

C. All fees paid in compliance with §1603 shall be by check drawn upon the designated depository of the political committee.

D. Certificates of registration will be issued to political committees only after a sufficient time has elapsed to insure that the check used to pay the required fee has been paid by the bank upon which it is drawn.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1301 (October 1997).

§1604. Registration and Reporting; Forms

A. The staff shall prepare and provide upon request, forms for the registration and reporting by political committees and reporting by candidates. The forms may be provided on paper or in electronic format.

B. No registration or report submitted by a political committee or report submitted by a candidate will be filed with the board unless:

1. the registration or report is on the proper form, as approved by the board, or a form which is substantially the same as the form approved by the board; and

2. as to political committees, the registration or report is signed by the appropriate representative of the political committee filing the document; or

3. as to candidates, the report is signed by the candidate.

C. The method of signature for reports electronically filed shall be as provided in §1803.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1302 (October 1997), amended LR 25:24 (January 1999), LR 26:629 (April 2000), LR 30:2671 (December 2004).

§1605. Provisional Registration and Reporting

A. Any political committee or candidate who submits a registration or report that is not on the required form shall have 10 days, from the date of receipt by the staff of the information submitted, to file the required form. If the provisions of §1605 are met, then the registration or report form shall be retroactively considered as filed on the same date the original registration or report was submitted. Any submission that was not on the proper form and which is not submitted on the correct form within the 10-day period shall not be filed.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1302 (October 1997).

§1606. Registration and Reporting; Incomplete and Incorrect Forms

A. The staff may, without board action, request additions and corrections to any registration or report filed by a political committee or report filed by a candidate or other person which would constitute a minor violation of the Campaign Finance Disclosure Act. However, the staff shall report any uncorrected or material violations of the Campaign Finance Disclosure Act 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 23:1302 (October 1997).

§1607. Registration and Reporting; Dating, Numbering and Filing

A. The staff shall establish a procedure for the dating, indexing, and filing of all registrations and campaign finance disclosure reports received by the board as supervisory committee.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 23:1302 (October 1997).

§1608. Return of Funds Accepted by a Legislator during a Legislative Session

A. A legislator who wishes to accept a contribution, loan, or transfer of funds during a regular legislative session as a candidate for an office described in R.S. 18:1505.2Q(3)(b) must open a bank account, separate from any existing campaign or personal accounts, into which such contributions, loans, or transfer of funds are deposited.

B. A legislator who determines he will not seek the office for which he accepted funds during a regular legislative session, or who fails to qualify for the office for which funds were collected, must return each such contribution, loan, or transfer collected during the regular legislative session which remains unencumbered or unexpended for expenses directly related to his campaign for an office other than a federal office, no later than 30 days after the legislator determines he will not seek the office, after the close of the qualifying period for the office declared by the legislator and for which he did not qualify, or after the close of the qualifying period in which he qualified for an office other than one described above, whichever occurs first.

C. In determining whether a contribution, loan, or transfer was expended or encumbered for expenses directly related to a campaign, a "first in, first out" basis of accounting shall be used, with the candidate deemed to have expended funds as they were collected. Funds still on hand, and therefore subject to return, will be the latest funds collected.

D. To determine whether the expenditure or encumbrance was directly related to an office described in R.S. 18:1505.2Q(3)(b), other than a federal office, the Supervisory Committee will examine the nature of

expenditures made or debts incurred including the nature of the advertising, geographic distribution of the advertising, and whether the advertising specifically promoted the elected official for a particular office. Expenditures other than advertising will be examined using similar criteria.

E. Any loans accepted by a legislator in accordance with R.S. 18:1505.2Q(3)(a)(ii) may be repaid at any time with funds collected during a regular legislative session.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 30:2687 (December 2004).

§1609. Return of Funds Accepted by the Governor during a Legislative Session or 30 Days

A. A governor who wishes to accept a contribution, loan, or transfer of funds during a regular legislative session or within 30 days thereafter as a candidate for an office described in R.S. 18:1505.2R(3)(b), must open a bank account, separate from any existing campaign or personal accounts, into which such contributions, loans, or transfer of funds are deposited.

B. A governor who determines he will not seek the office for which he accepted funds during a regular legislative session or within 30 days thereafter, or who fails to qualify for the office for which funds were collected, must return each such contribution, loan, or transfer collected during the regular legislative session, or within 30 days thereafter, which remains unencumbered or unexpended for expenses directly related to his campaign for an office other than a federal office, no later than 30 days after the governor determines he will not seek the office, after the close of the qualifying period for the office declared by the governor and for which he did not qualify, or after the close of the qualifying period in which he qualified for an office other than one described above, whichever occurs first.

C. In determining whether a contribution, loan, or transfer was expended or encumbered for expenses directly related to a campaign, a "first in, first out" basis of accounting shall be used, with the candidate deemed to have expended funds as they were collected. Funds still on hand, and therefore subject to return, will be the latest funds collected.

D. To determine whether the expenditure or encumbrance was directly related to an office described in R.S. 18:1505.2R(3)(b), whichever is applicable, other than a federal office, the Supervisory Committee will examine the nature of expenditures made or debts incurred including the nature of the advertising, geographic distribution of the advertising, and whether the advertising specifically promoted the elected official for a particular office. Expenditures other than advertising will be examined using similar criteria.

E. Any loans accepted by the governor in accordance with R.S. 18:1505.2R(3)(a)(ii) may be repaid at any time with funds collected during or after a regular legislative session.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 30:2687 (December 2004).

§1610. Monthly Reporting by Political Committees

1. If a political committee, other than a principal or subsidiary campaign committee of a candidate, chooses to file campaign finance disclosure reports on a monthly basis, written notification must be provided to the supervisory committee no less than 45 days prior to the next campaign finance disclosure report required by R.S. 18:1491.6 to be filed by the political committee.

2. Such notification must be in writing on a form provided by the supervisory committee or a form which is substantially similar to the form provided by the supervisory committee, and be signed by the chairman of the political committee.

3. Upon receipt of the written notification from the political committee by the supervisory committee, the political committee shall file reports by the tenth of each month if the political committee accepted a contribution or some other receipt, or made an expenditure or some other disbursement during the preceding month. If the political committee is required to file a monthly report, the political committee shall begin filing monthly reports no later than the next month after which notification is received by the supervisory committee.

4. If a political committee intends to cease filing reports on a monthly basis written notification must be provided to the supervisory committee prior to the due date of the next monthly report; thereafter, the political committee must file the next monthly report and then commence filing reports in accordance with R.S. 18:1491.6.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 30:2671 (December 2004).

Chapter 17. Code of Governmental Ethics

§1701. Exception Contained in Section 1123(13); Sporting and Cultural Events

A. An elected official may not receive a ticket or other fee or payment made in connection with a sporting or cultural event the value of which exceeds $100. If two or more persons pay for the ticket or other fee or payment made in connection with a sporting or cultural event, the total amount of the fee or payment may not exceed $100.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 31:1228 (June 2005).

§1703. Food and Drink Limit

A. In accordance with R.S. 42:1115.1(C), beginning on July 1, 2015, the limit for food, drink or refreshments provided in R.S. 42:1115.1(A) and (B) is $60.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1115.1.

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 36:304 (February 2010), amended LR 36:1466 (July 2010), LR 38:1951 (August 2012), LR 39:3062 (November 2013) LR 40:1678 (September 2014), amended LR 41:1262 (July 2015).

§1719. Elected Officials; Duties and Rights

A. Upon receipt of notification, the elected official has a duty to report to the designated collection site within 32 hours to submit a sample for testing.

B. The elected official has a right to receive from the designated representative a copy of the results of the test and the confirmation by the medical review officer, if necessary.

C. The elected official must, at the request of the designated representative, authorize the release of his medical records to the designated representative for review by the medical review officer.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1116.1 and R.S. 42:1141(B)(3).

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 24:1895 (October 1998).

Chapter 18. Electronic Filing

§1801. In General

A. The board recognizes the importance of immediate public access to publicly disclosed information. Accordingly, the board has implemented a system to allow ethics, lobbyist, and campaign finance disclosure reports to be electronically filed.

B. To file electronic reports, a filer must complete and submit the affidavit provided by the board to obtain a password for electronic filing. The affidavit should be completed and received by the board at least five business days prior to the reporting deadline. All filers whose affidavits are received at least five business days prior to a reporting deadline will be issued a user ID and a password for the next reporting deadline.

C. Although a filer using the electronic filing software system has until midnight on the day of a filing deadline to electronically file a report, staff support is only available during regular business hours.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1116.1 and R.S. 42:1141(B)(3).

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 25:24 (January 1999), amended LR 30:2672 (December 2004).

§1802. Methods of Filing

A. The board may allow reports to be electronically filed via modem, diskette, or through Internet access.

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 25:24 (January 1999)

§1803. Validation of Reports

A. Upon receipt of an electronically filed report, the staff of the board shall cause a validation of receipt to be sent to the filer via facsimile, electronic mail, or United States mail.

B. Electronically filed reports shall include a digital signature created according to the methodology included in the board's electronic filing system.

C. Reports required to be filed under oath may be submitted electronically.

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 25:24 (January 1999), amended LR 30:2672 (December 2004).

§1804. Time of Filing

A. A report electronically filed shall be deemed timely if received electronically by midnight on the filing deadline. The system time of the board's system shall control in the event of a dispute as to the time of receipt.

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 25:24 (January 1999).

§1805. Refusal of Electronic Reports

A. The staff of the board may refuse to accept for filing an electronic report that contains a computer virus which could compromise the computer system of the board. The filer shall be immediately notified of the refusal so that an alternative method of delivery may be attempted.

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 25:24 (January 1999).

Chapter 19. Legislative Branch Lobbyist Disclosure Act

§1901. In General

A. The Legislative Branch Lobbyist Disclosure Act provides that the Board of Ethics shall administer and enforce the provisions of the Act.

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 25:624 (April 1999), amended LR 31:1228 (June 2005).

§1902. Filing Fees

A. Lobbyist registration fees submitted pursuant to R.S. 24:53 shall be made by check or money order payable to the Board of Ethics.

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 25:624 (April 1999), amended LR

30:2672 (December 2004), repromulgated LR 31:620 (March 2005).

§1903. Registration and Reporting Forms

A. The staff shall prepare and provide upon request, forms for the registration and reporting of lobbyists. The forms may be provided on paper or in electronic format.

B. No registration or report filed by a lobbyist will be dated and filed with the board unless the registration or report is on the proper form as provided by the staff.

C. The method of signature shall be as provided in §1803.

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 25:624 (April 1999), amended LR 26:629 (April 2000).

§1904. Registration and Reporting; Dating, Numbering and Filing

A. The staff shall establish a procedure for the dating, indexing, and filing of all lobbyist registration and Lobbyist Disclosure reports received by 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 25:624 (April 1999).

§1907. Lobbying Registration Form

LOBBYING REGISTRATION FORM
To be used for initial registrations and renewals

_____
Lobbyist's Registration Number

FOR OFFICE USE ONLY
Postmark Date:_____

Instructions

- Print in ink or type.
- Complete form and return with $110 registration fee to the Board of Ethics, 2415 Quail Dr., 3rd Floor, Baton Rouge, LA 70808, (225) 763-8777 or (800) 842-6630.
- Initial registrations must be submitted within 5 days of (1) employment as a lobbyist or (2) first action requiring registration. Registrations expire as of December 31 unless a renewal is submitted between December 1 and January 31.

1. NAME_____
Last First MI

2. BUSINESS PHONE_____
Area Code and Phone Number

3. BUSINESS ADDRESS_____
Street and No. City State Zip

MAILING ADDRESS_____
Street and No. City State Zip

4. EMPLOYER_____

5. EMPLOYER'S ADDRESS_____
Street and No. City State Zip

6. LIST BELOW (a) Names of persons, groups, or organizations which you represent; (b) the address of each such person, group, or organization you represent; (c) the type of business each is engaged in or the purpose or function of the organization or group; (d) whether or not the client or someone else pays you to lobby.

1. Name _____

Address _____

Business or purpose_____

Does this person pay you? _____

If No, then who pays you?_____

2. Name _____

Address _____

Business or purpose_____

Does this person pay you? _____

If No, then who pays you?_____

3. Name _____

Address _____

Business or purpose_____

Does this person pay you? _____

If No, then who pays you?_____

4. Name _____

Address _____

Business or purpose_____

Does this person pay you? _____

If No, then who pays you?_____

CERTIFICATION OF ACCURACY

I hereby certify that the information contained herein is true and correct to the best of my knowledge, information, and belief; and that no information required by the Lobbyist Disclosure Act [LSA-R.S. 24:50 et seq.] has been deliberately omitted.

_____
Signature of Lobbyist

ATTACH
2" x 2"
PHOTOGRAPH
HERE

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 30:2680 (December 2004), repromulgated LR 31:627 (March 2005).

§1908. Lobbying Expenditure Form

LOBBYING EXPENDITURE REPORT

☐ **COVERING JANUARY 1 THROUGH JUNE 30, ___ DUE BY AUGUST 15**

☐ **COVERING JULY 1 THROUGH DECEMBER 31, __ DUE BY FEBRUARY 15**

_____
Lobbyist's Registration Number

FOR OFFICE USE ONLY
Postmark Date:_____

Instructions

- Print in ink or type.
- Fill in registration number in spaces provided.
- Check the box that identifies which report is being filed and fill in the year that the report is covering in the space provided.
- Complete form and return to the Board of Ethics, 2415 Quail Dr., 3rd Floor, Baton Rouge, LA 70808 (225) 763-8777 or (800) 842-6630
- T**his form must be delivered or postmarked by the due date.**
- This form may be faxed to (225) 763-8787.
- The report covering July 1-Dec.31 is a **cumulative report**. You must include information from the first half of the year.

1. NAME_____
   Last First MI

2. BUSINESS ADDRESS_____
   Street and No. City State Zip

   MAILING ADDRESS_____
   Street and No. City State Zip

3. BUSINESS PHONE_____
   Area Code and Phone Number

4. Total of all expenditures made January 1 through June 30: $ _____
   (Include expenditures from Schedules A and B)
5. Total of all expenditures made July 1 through December 31: $. _____
   (When applicable) (Include expenditures from Schedules A and B)
6. Total of all expenditures made during calendar year: $ _____
   (Line 4 added with Line 5 should equal Line 6)
7. Did you make an expenditure exceeding $50 on one occasion for any one legislator:

   From January 1 through June 30? ☐ YES ☐ NO
   From July 1 through December 31? ☐ YES ☐ NO ☐ NA

If the answer to either question in Number 7 above is YES, please complete Schedule A and attach.

8. Did you make expenditures exceeding the sum of $250 for any one legislator:

   From January 1 through June 30? ☐ YES ☐ NO
   From July 1 through December 31? ☐ YES ☐ NO ☐ NA

If the answer to either question in Number 8 above is YES, please complete Schedule A and attach.

9. Did you expend funds for a reception, social gathering, or other function to which the entire legislature, either house, any standing committee, select committee, statutory committee, committee created by resolution of either house, subcommittee of any committee, recognized caucus, or any delegation thereof were invited during this reporting period?

   ☐ YES ☐ NO

If the answer to either question in Number 9 above is YES, please complete Schedule B and attach.

CERTIFICATION OF ACCURACY

I hereby certify that the information contained herein is true and correct to the best of my knowledge, information, and belief; that all reportable expenditures have been included herein; and that no information required by the Lobbyist Disclosure Act [LSA-R.S. 24:50 et seq.] has been deliberately omitted.

_____

Signature of Lobbyist

SCHEDULE A: EXPENDITURES FOR LEGISLATION			
This schedule must be completed if you answered YES to either question 7 or 8 on the Lobbying Expenditure Report. If, during the period January 1 through June 30 or the period July 1 through December 31, you made either (a) an expenditure for any one legislator exceeding $50 on any one occasion or (b) aggregate expenditures exceeding $250 for any one legislator during a reporting period, then you must provide the aggregate total of expenditures made on that legislator in that reporting period. **NOTE: Report covering July-December is cumulative. You must include reportable expenditures from the first half of the year in Column #2**.			
1. LEGISLATOR'S NAME	2. AMOUNT OF EXPENDITURES MADE ON A LEGISLATOR FOR WHOM YOU EITHER SPENT OVER $50 ON ONE OCCASION OR MADE EXPENDITURES EXCEEDING $250 **BETWEEN JANUARY 1 AND JUNE 30.**	3. AMOUNT OF EXPENDITURES MADE ON A LEGISLATOR FOR WHOM YOU EITHER SPENT OVER $50 ON ONE OCCASION OR MADE EXPENDITRES EXCEEDING $250 **BETWEEN JULY 1 AND DECEMBER 31**.	4. TOTAL OF COLUMNS 2 AND 3.

SCHEDULE B: EXPENDITURES FOR RECEPTIONS, ETC.			
This schedule must be completed if you answered YES to either question 9 on the Lobbying Expenditure Report. The following information must be provided for all receptions, social gatherings, or other functions to which the entire legislature, either house, any standing committee, select committee, statutory committee, committee created by resolution of either house, subcommittee of any committee, recognized caucus, or any delegation thereof, was invited.			
1. NAME(S) OF GROUP(S) INVITED	2. DATE OF RECEPTION	3. LOCATION OF RECEPTION	4. **TOTAL AMOUNT OF EXPENDITURES FOR ATTENDING LEGISLATORS***

*** No amount expended on persons other than attending legislators is reportable.**

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 30:2682 (December 2004), repromulgated LR 31:629 (March 2005), LR 31:900 (April 2005).

§1909. Lobbying Supplemental Registration Form

LOBBYING SUPPLEMENTAL REGISTRATION FORM

To be used for changes to registrations and terminations.

_____
Lobbyist's Registration Number

FOR OFFICE USE ONLY
Postmark Date:_____

Instructions

- Print in ink or type.
- Complete form and return to the Board of Ethics, 2415 Quail Dr., 3rd Floor, Baton Rouge, LA 70808, (225) 763-8777 or (800) 842-6630. No fee is required.
- This form must be submitted within 5 days of any changes in your registration form or to add employers or those you represent. It must be submitted within 10 days of any termination of employment or representations.

1. NAME_____
   Last First MI

2. BUSINESS PHONE_____
   Area Code and Phone Number

3. BUSINESS ADDRESS_____
   Street and No. City State Zip

   MAILING ADDRESS_____
   Street and No. City State Zip

4. EMPLOYER_____

5. EMPLOYER'S ADDRESS_____
   Street and No. City State Zip

6. Have you ceased or terminated all lobbying activities requiring registration? Yes _____ No _____

7. LIST BELOW (a) Names of persons, groups, or organizations which you are adding or eliminating; (b) the address of each such person, group, or organization listed; (c) the type of business each is engaged in or the purpose or function of the organization or group; (d) whether or not the client or someone else pays you to lobby; and (e) the date of termination if applicable.

   1. Name _____

      Address _____

      Business or purpose_____

      ☐ New Representation
      Does this person pay you? _____
      If No, who pays you?_____

      ☐ Terminated Representation as of _____

2. Name _____

Address _____

Business or purpose_____

☐ New Representation
Does this person pay you? _____
If No, who pays you?_____

☐ Terminated Representation as of _____

3. Name _____

Address _____

Business or purpose_____

☐ New Representation
Does this person pay you? _____
If No, who pays you?_____

☐ Terminated Representation as of _____

CERTIFICATION OF ACCURACY

I hereby certify that the information contained herein is true and correct to the best of my knowledge, information, and belief; and that no information required by the Lobbyist Disclosure Act [LSA-R.S. 24:50 et seq.] has been deliberately omitted.

_____
Signature of Lobbyist

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 30:2684 (December 2004), repromulgated LR 31:631 (March 2005).

§1910. Disclosure Statement Pursuant to R.S. 39:1233.1

LSA-R.S. 39:1233.1 DISCLOSURE STATEMENT	
The Louisiana Code of Governmental Ethics generally prohibits any member or chief executive officer of a local depositing authority from serving as an officer, director, or employee of a bank in which agency funds are deposited L.S.A-R.S. 39:1233.1 creates a narrow exception allowing a local governing authority member or chief executive officer to serve in such a capacity, despite the agency's deposit of funds in the bank, if he (1) recuses himself from voting in favor of any such bank and does not otherwise participate in the depositing authority's consideration of any matter affecting actual or potential business with the bank, (2) discloses the reason for recusal and files these reasons, in writing, in the minutes or record of the agency, and (3) files this disclosure form with the Board of Ethics within 15 days of any such recusal. Any such disclosure statement shall be deemed filed when it is received in the office of the Board of Ethics or at the time it is postmarked by the United States Postal Service, if it is subsequently received in the office of the Board of Ethics, whichever is earlier. **This exception may be used only by members of "local depositing authorities." Local depositing authorities are defined by law to include all parishes, municipalities, boards, commissions, sheriffs and tax collectors, judges, clerks of court, and any other public bodies or officers of any parish, municipality or township, but do not include the state, state commissions, state boards and other state agencies. Unless a written advisory opinion has been obtained from the Board of Ethics, members and chief executive officers of special agencies created by, representing OR comprised of more than one political subdivision are NOT included in this exception. Sole decision makers may NOT take advantage of this exception.**	
NOTE: This exception is narrow—completion of this form will not cure any violation of the Ethics Code except those situations specifically addressed in LSA-R.S. 39:1233.1.	
1. Name and address of official	2. Office held (Please include the office title and the political subdivision.)
3. Name and address of bank	4. Position(s) held at bank (If officer, state office held. If employee, give job title.)
5. Position with bank is _____ compensated _____ noncompensated. (Check one)	
6. Description of transaction from which you recused yourself from participating (for example, consideration of method of selecting bank(s) to be used, selection of a bank or banks, decision affecting deposits, decision to discontinue use of a bank, etc.) Include the date of each instance on which you recused yourself from voting or otherwise participating in any such transaction.	
7. _____ Signature of Official Date	
Mail or hand deliver to: Ethics Administration Program, 2415 Quail Drive, Third Floor, Baton Rouge, Louisiana 70808. If you have any questions, please call (225) 763-8777 or (800) 842-6630.	

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 30:2686 (December 2004), repromulgated LR 31:633 (March 2005).

§1912. Notice to Persons Attempting to Do Business with Retirement Systems

A. The chairman of the board of trustees of each state or statewide public retirement system shall provide a written notice to every person whom the chairman knows, or reasonably should know, has or is seeking to obtain a contractual or other business or financial relationship with his system, which shall include the following information:

1. the need to file disclosure statements pursuant to R.S. 42:1114.2 and a form to file the statement;

2. the gift restrictions in the Code of Governmental Ethics set out at R.S. 42:1115; and

3. the requirements of registration and disclosure pursuant to the Executive Branch Lobbying Law, R.S. 49:71 through 78.

B. By December 15 of each year, the board shall provide a sample notice to the chairman of each state or statewide public retirement system to assist the chairman in his responsibility.

C. Within 15 days of the chairman's dissemination of the notice required in Subpart A, he shall provide to the board a copy of the notice distributed, as well as the name and address of each person to whom the notice was sent.

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 30:2688 (December 2004).

§1913. Reserved.

§1915. Reserved.

§1917. Reserved.

§1919. Retirement System Financial Disclosure Report

RETIREMENT SYSTEM FINANCIAL DISCLOSURE REPORT
Pursuant to LSA-R.S. 42:1114.2, each person who has or is seeking to obtain a contractual or other business or financial relationship with a state or statewide public retirement system shall file with the Board of Ethics a financial disclosure report semiannually if the person has made expenditures of five hundred dollars or more in a calendar year. Reports disclosing expenditures for retirement officials must be filed by August 15th, covering January 1 through June 30 of the calendar year and by February 15th, covering January 1-December 31 of the calendar year. Although there is no registration requirement under R.S. 42:1114.2, you may be required to register and report under LSA-R.S. 49:71 et seq.

Reports may be mailed or delivered to: Board of Ethics, 2415 Quail Dr., 3rd Floor, Baton Rouge, LA 70808
OR
Faxed to: (225)763-8787 or (225)763-8780

FOR OFFICE USE ONLY
Postmark Date:_____

REPORT COVERING:

☐ JANUARY 1 through JUNE 30, _____ - **DUE BY AUGUST 15**
☐ JANUARY 1 through DECEMBER 31, _____ - **DUE BY FEBRUARY 15**

1. Name: _____
   Last First MI

2. Business Address: _____
   Street and No. City State Zip

   Mailing Address: _____

3. Business Phone: _____
   Area Code and Telephone Number

4. Employer: _____

5. Employer's address: _____
   Street and No. City State Zip

6. Did you make an expenditure exceeding $50 on one occasion for a retirement system official:

   From January 1 through June 30? Yes ☐ No ☐
   From July 1 through December 31? Yes ☐ No ☐ NA ☐

   If the answer to either question in Number 6 above is YES, complete Schedule A and attach.

7. Did you make expenditures exceeding the sum of $250 for a retirement system official:

   From January 1 through June 30? Yes ☐ No ☐
   From July 1 through December 31? Yes ☐ No ☐ NA ☐

   If the answer to either question in Number 7 above is YES, complete Schedule A and attach.

Page 1 of _____

8. PROVIDE BELOW (a) the name of the state or statewide public retirement system; (b) the aggregate total of all expenditures attributable to the retirement system made during the January 1-June 30 reporting period; (c) the aggregate total of all

expenditures attributable to the retirement system made during the July 1-December 31 reporting period when applicable; (d) the aggregate total of all expenditures made in a calendar year attributable to the retirement system.

1) a. Name of Retirement System: _____

b. Total of all expenditures made January 1 through June 30: $_____

c. Total of all expenditures made July 1 through December 31:$_____

(When applicable)

d. Total of all expenditures made during the calendar year: $ _____

2) a. Name of Retirement System: _____

b. Total of all expenditures made January 1 through June 30: $_____

c. Total of all expenditures made July 1 through December 31:$_____

(When applicable)

d. Total of all expenditures made during the calendar year: $_____

3) a. Name of Retirement System: _____

b. Total of all expenditures made January 1 through June 30: $_____

c. Total of all expenditures made July 1 through December 31: $_____

(When applicable)

d. Total of all expenditures made during the calendar year: $_____

CERTIFICATION OF ACCURACY

I hereby certify that the information contained herein is true and correct to the best of my knowledge, information, and belief; that all reportable expenditures have been included herein; and that no information required by LSA-R.S. 42:1114.2 has been deliberately omitted.

_____

Signature of Filer

Page _____ of _____

SCHEDULE A: EXPENDITURES FOR RETIREMENT SYSTEM OFFICIALS				
This schedule must be completed if you answered YES to either question 6 or 7on the Retirement System Financial Disclosure Report. If, during the period January 1 through June 30 or the period July 1 through December 31, you made either a) an expenditure for any retirement system official exceeding $50 on any one occasion or b) aggregate expenditures exceeding $250 for any one retirement system official during a reporting period, then you must provide the aggregate total of expenditures made on that individual in that reporting period. **NOTE: Report covering July-December is cumulative. You must include reportable expenditures from the first half of the year in Column #3.**				
1. OFFICIAL'S NAME	**2**. NAME OF RETIREMENT SYSTEM	**3**. AMOUNT OF EXPENDITURES MADE ON AN OFFICIAL FOR WHOM YOU EITHER SPENT OVER $50 ON ONE OCCASION OR MADE EXPENDITURES EXCEEDING $250 **BETWEEN JANUARY 1 AND JUNE 30**	**4**. AMOUNT OF EXPENDITURES MADE ON AN OFFICIAL FOR WHOM YOU EITHER SPENT OVER $50 ON ONE OCCASION OR MADE EXPENDITURES EXCEEDING $250 **BETWEEN JULY 1 AND DECEMBER 31**	**5. TOTAL OF COLUMNS 3 AND 4**

Page _____ of _____

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 30:2696 (December 2004).

Chapter 20. Exemption Pursuant to the Provisions of Section 1123(34)

§2001. Application

A. A member of a municipal or parish governing authority in a parish or municipality with a population of 25,000 of less (according to the most recently published decennial census), or a member of such elected official's immediate family or a legal entity in which he has a controlling interest may make an application which is under the supervision or jurisdiction of his agency for the approval of the subdivision or resubdivision of property, and for the zoning of such property or for a building permit and any inspections performed pursuant thereto, provided the elected official recuses himself from acting in his official governmental capacity in matters concerning such application, and provides the written notice as required in §2003 is filed.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 30:2686 (December 2004).

§2003. Reporting Requirements

A. Written notices filed pursuant to R.S. 42:1123(34) of the Code shall:

1. be filed with the board and with the elected official's governing authority no later than 10 days prior to any hearing pertaining to such application or if no hearing is held at least 10 days prior to final action on such application; and

2. be in writing, on a form provided by the board or a form which is substantially similar to the form provided by the board, and shall contain the following;

a. name, address, and the office held by the elected official;

b. name and address, and relation to elected official, if the applicant if a member of the elected official's immediate family;

c. name and business address of the legal entity, if applicable;

d. name and population of municipality or parish;

e. description of the application being made;

f. date of hearing or final action regarding such application;

g. statement that:

i. the zoning of such subdivided property will not be less restrictive than the zoning of the original parcel;

ii. no variance or special exemption from any planning or zoning regulation or requirement or any building code or permit will be requested or granted;

iii. the property will be used for residential purposes only;

iv. application for the subdivision, resubdivision, or zoning of no more than 12 lots per calendar year and the construction of no more than 12 residential units per calendar year by the elected official, his immediate family members and any legal entity in which they own a controlling interest has been submitted; and

v. no public funds will be used to construct any infrastructure for the use or benefit of such property;

h. signed certificate of accuracy.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 30:2686 (December 2004).

Chapter 21. Executive Branch Lobbyist Disclosure Act

§2101. In General

A. The Executive Branch Lobbyist Disclosure Act provides that the board shall administer and enforce the provisions of R.S. 49:71 et seq.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 31:1228 (June 2005).

§2103. Registration and Reporting Forms

A. The staff shall prepare and provide, upon request, forms for the registration and reporting of executive branch lobbyists. Forms may be provided on paper or in electronic format.

B. No registration, report or designation filed by a lobbyist or other person will be dated and filed with the board unless the registration, report or designation is on the form promulgated by the board in this Chapter.

C. If the form is electronically filed, the method of signature shall be as provided in §1803.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 31:1228 (June 2005).

§2105. Registration and Reporting; Dating, Numbering and Filing

A. The staff shall establish a procedure for the dating, indexing, and filing of all lobbyist registrations, lobbyist disclosure reports, designations, and employer/principal disclosure reports received by the board.

B. The method of determining the date of filing shall be as provided in R.S. 42:1157.1.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 31:1228 (June 2005).

§2107. Filing Fees

A. A fee, as set forth by the Legislature in R.S. 49:74(G), shall be remitted to the board with each registration or renewal required to be filed by a lobbyist.

B. All fees paid in compliance with this Chapter shall be by check or money order and made payable to the Louisiana Board of Ethics.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 31:1228 (June 2005).

§2109. Definitions

A. The following definitions supplement those contained in R.S. 49:71 et seq.

Aggregate Amount or *Aggregate Expenditure*—the total amount of money spent on behalf of an individual executive branch official on any one occasion or during a six-month reporting period.

Aggregate Total—the total of all expenditures for a reporting period or a calendar year.

Employer—any person which employs an individual for the purpose of lobbying.

Principal—any person who retains the services of a lobbyist to represent its interests on a contractual basis.

Schedule A—part of the promulgated expenditure report form which is used to report the name and agency of an executive branch official and the amount spent on the individual when such information is required by R.S. 49:76E.

Schedule B—part of the promulgated expenditure report form which is used to report the name of the group or groups of persons invited to a function, the date and location of the function and expenditures made in connection with the function when such information is required by R.S. 49:76F.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 31:1228 (June 2005).

§2111. Executive Branch Agencies

A. A lobbyist shall report the total amount of expenditures spent on employees in every individual department of the executive branch during the applicable reporting period on the forms promulgated by the board in this Chapter.

B. A lobbyist shall report the total amount of expenditures spent on employees in every individual agency within an executive branch department during the applicable reporting period on the forms promulgated by the board in this Chapter.

C. The board has promulgated the following roman numerical list of each department of the executive branch followed by the numerical list of agencies within each executive branch department.

I. Office of the Governor

1. Executive Office of the Governor
2. Advisory Council for Technology Access by Individuals with Disabilities
3. Board of Examiners of Certified Shorthand Reporters
4. Board of Tax Appeals
5. Board of Trustees of the State Employees Group Benefits Program
6. Cabinet Advisory Group on Economic Development
7. Children's Cabinet and Children's Cabinet Advisory Board
8. Coordinating Council on Telemedicine and Distance Education
9. Council on Peace Officers Standards and Training
10. Crime Victims Reparation Board
11. Governor's Advisory Commission on Coastal Restoration and Conservation
12. Governors Office of Indian Affairs
13. Indigent Defense Assistance Board
14. Juvenile Justice Reform Act Implementation Commission
15. Louisiana Animal Welfare Commission
16. Louisiana Architects Selection Board
17. Louisiana Auctioneers Licensing Board
18. Louisiana Cemetery Board
19. Louisiana Commission on HIV and AIDS
20. Louisiana Commission on Human Rights
21. Louisiana Commission on Law Enforcement and Administration of Criminal Justice
22. Louisiana Economic Development Council
23. Louisiana Engineers Selection Board
24. Louisiana Governor's Mansion Commission
25. Louisiana Landscape Architects Selection Board
26. Louisiana Manufactured Housing Commission
27. Louisiana Motor Vehicle Commission
28. Louisiana Real Estate Appraisers Board
29. Louisiana Real Estate Commission
30. Louisiana Sentencing Commission
31. Louisiana Stadium and Exposition District, Board of Commissioners
32. Louisiana State Board of Cosmetology
33. Louisiana State Board of Home Inspectors
34. Louisiana State Interagency Coordinating Council for Child Net: Louisiana's Early Intervention Program for Infants and Toddlers with Special Needs and their Families
35. Louisiana State Racing Commission
36. Louisiana State Radio and Television Technicians Board
37. Louisiana Technology and Innovations Council
38. Louisiana Used Motor Vehicle and Parts Commission
39. Louisiana Workforce Commission
40. Mental Health Advocacy Service and Its Board of Trustees
41. Military Department, State of Louisiana
42. Occupational Forecasting Conference
43. Office of Disability Affairs
44. Office of Elderly Affairs and the Louisiana Executive Board on Aging

45. Office of Environmental Education
46. Office of Financial Institutions
47. Office of Lifelong Learning
48. Office of Louisiana Oil Spill Coordinator
49. Office of Rural Development
50. Office of Women's Policy
51. Ozarks Regional Commission
52. Patient's Compensation Fund Oversight Board
53. Pet Overpopulation Advisory Council
54. Policy Coordinating Council
55. Polygraph Board
56. Small Business Entrepreneurship Commission
57. State Board of Architectural Examiners
58. State Board of Certified Public Accountants of Louisiana
59. State Board of Examiners of Interior Designers
60. State Boxing and Wrestling Commission
61. State Licensing Board for Contractors
62. The Drug Policy Board
63. The Wetlands Conservation and Restoration Authority
64. Any board, commission, or task force created by the Governor or by the Office of the Governor

II. Department of Agriculture and Forestry

1. Executive Office of the Commissioner
2. Office of Management and Finance
3. Office of Solar and Water Conservation
4. Office of Marketing
5. Office of Agro-Consumer Services
6. Office of Agriculture and Environmental Sciences
7. Office of Animal Health Services
8. Office of Forestry
9. Advisory Commission on Pesticides
10. Boll Weevil Eradication Commission
11. Dairy Industry Promotion Board
12. Dairy Stabilization Board
13. Fertilizer Commission
14. Horticulture Commission of Louisiana
15. Livestock Brand Commission
16. Louisiana Agricultural Commodities Commission
17. Louisiana Agricultural Finance Authority
18. Louisiana Aquaculture Coordinating Council
19. Louisiana Beef Industry Council
20. Louisiana Crawfish Market Development Authority
21. Louisiana Crawfish Promotion and Research Board
22. Louisiana Egg Commission
23. Louisiana Feed Commission
24. Louisiana Forestry Commission
25. Louisiana Pork Commission Board
26. Louisiana Rice Commission Board
27. Louisiana Rice Research Board
28. Louisiana Soy Bean Commission Board
29. Louisiana State Livestock Sanitary Board
30. Louisiana Strawberry Marketing Board
31. Louisiana Sweet Potato Advertising and Development Commission
32. New Orleans Food Center Authority
33. Seed Commission
34. State Market Commission
35. State Soil and Water Conservation Committee
36. Structural Pest Control Commission
37. Weights and Measures Commission

III. Department of Culture, Recreation, and Tourism

1. Office of the Lieutenant Governor
2. Executive Office of the Secretary
3. Office of Management and Finance
4. Office of Tourism
5. Office of State Library
6. Office of the State Museum
7. Office of Cultural Development
8. Office of State Parks
9. Atchafalaya Trace Advisory Board
10. Atchafalaya Trace Commission
11. Atchafalaya Trace Heritage Area Development Zone Review Board
12. Board of Commissioners of the State Library of Louisiana
13. Board of Directors of the Louisiana State Museum
14. Council of 100
15. Kenner Naval Museum Commission
16. Louisiana Archaeological Survey and Antiquities Commission
17. Louisiana Byways Commission
18. Louisiana Folk Life Commission
19. Louisiana Naval War Memorial Commission
20. Louisiana Purchase Bicentennial Commission
21. Louisiana Purchase Commemorative Act Commission
22. Louisiana Retirement Development Commission
23. Louisiana Serve Commission
24. Louisiana State Arts Council
25. Louisiana Tourism Development Commission
26. Louisiana Unmarked Burial Sites Board
27. Manchac Parkway Commission
28. Mississippi River Road Commission
29. National Register Review Committee
30. New Orleans City Park Improvement Association and Its Board of Commissioners
31. Red River Development Council
32. State Board of Library Examiners
33. State Parks and Recreation Commission

IV. Department of Economic Development

1. Executive Office of the Secretary
2. Office of Management and Finance
3. Office of Business Development
4. Advisory Committee of Louisiana Applied Polymer Technology Extension Consortium
5. Board of Commerce and Industry
6. Board of Directors of Louisiana Applied Polymer Technology Consortium
7. Louisiana Biomedical Research and Development Park Commission
8. Louisiana Economic Development Corporation
9. Louisiana International Trade Development Board
10. Louisiana Music Commission

V. Department of Education

1. State Board of Elementary and Secondary Education
2. Advisory Councils to Pro-Secondary Vocational Technical Schools
3. Executive Office of the Superintendent
4. Office of Management and Finance
5. Louisiana Student Financial Assistance Commission, Office of Student Financial Assistance
6. Office of School and Community Support
7. Office of Student and School Performance
8. Office of Quality Educators
9. Board of Regents
10. Board of Supervisors for the University of Louisiana System
11. Any College/University under the supervision of the Board of Supervisors for the University of Louisiana System shall be considered its own agency.
12. Board of Supervisors of Louisiana State University and Agricultural and Mechanical College
13. Any College/University/Center under the supervision of the Board of Supervisors of Louisiana State University and Agricultural and Mechanical College shall be considered its own agency.
14. Board of Supervisors of Southern University and Agricultural and Mechanical College
15. Any College/University/Center under the supervision of the Board of Supervisors of Southern University and Agricultural and Mechanical College shall be considered its own agency.
16. Administrative Leadership Academy
17. Advisory Commission on Proprietary Schools
18. Board of Directors of Minority Health Professions Education Foundation
19. Council for the Development of Spanish in Louisiana
20. Council for the Development of French in Louisiana
21. Council of Louisiana Universities Marine Consortium for Research and Education
22. Governor's Program for Gifted Children
23. Louisiana Educational Assessment Testing Commission
24. Louisiana Educational Television Authority
25. Louisiana Higher Education Executive Advisory Committee
26. Louisiana HIPPY Advisory Board
27. Louisiana School for Gifted and Talented Students and Its Board of Directors
28. Louisiana Systemic Initiatives Program Council
29. New Orleans Center for Creative Arts/Riverfront and Advisory Board
30. Office of Instructional Technology
31. Quality Science and Mathematics Council
32. Recovery School District
33. State Advisory Commission on Teacher Education and Certification
34. Task Force on Student Proficiency
35. Teaching Internship Program Commission

VI. Department of Environmental Quality

1. Executive Office of the Secretary
2. Office of Management and Finance
3. Office of Environmental Assessment
4. Office of Environmental Compliance
5. Office of Environmental Services
6. Board of Certification and Training for Solid Waste Management
7. Louisiana Small Business Compliance Advisory Panel

VII. Department of Health and Hospitals

1. Executive Office of the Secretary
2. Office of Management and Finance
3. Office of Public Health
4. Office of Mental Health
5. Office of Citizens with Developmental Disabilities
6. Office for Addictive Disorders
7. Any hospital/institution/ developmental center, including regional or parish offices, under the supervision of the Department of Health and Hospitals shall be considered its own agency.
8. Advisory Committee on Hospice Care
9. Advisory Committee on Respiratory Care
10. Allied Health Professionals Supply and Demand Commission
11. Ambulance Standards Committee of Emergency Medical Services Task Force
12. Board of Examiners for Nursing Home Administrators
13. Clinical Laboratory Personnel Committee
14. Commission on Perinatal Care and Prevention of Infant Mortality
15. Fluoridation Advisory Board
16. Governor's Council on Physical Fitness and Sports
17. Health Education Authority of Louisiana
18. Louisiana Access to Better Care Medicaid Insurance Demonstration Project Oversight Board
19. Louisiana Advisory Committee on Assisted Living
20. Louisiana Advisory Committee on Populations and Geographic Regions with Excessive Cancer Rates
21. Louisiana Advisory Committee on Midwifery
22. Louisiana Board for Hearing Aid Dealers
23. Louisiana Board of Examiners for Speech-Language Pathology and Audiology
24. Louisiana Board of Massage Therapy
25. Louisiana Board of Pharmacy
26. Louisiana Board of Wholesale Drug Distributors
27. Louisiana Commission on Alcohol and Drug Abuse
28. Louisiana Emergency Medical Services Certification Commission
29. Louisiana License Professional Counselors Board of Examiners
30. Louisiana Licensed Professional Vocational Rehabilitation Counselors Board of Examiners
31. Louisiana Medical Assistance Trust Fund Advisory Council
32. Louisiana Medical Disclosure Panel
33. Louisiana State Board of Certification for Substance Abuse Counselors
34. Louisiana State Board of Certified Social Work Examiners
35. Louisiana State Board of Chiropractic Examiners
36. Louisiana State Board of Dentistry

37. Louisiana State Board of Embalmers and Funeral Directors
38. Louisiana State Board of Examiners for Sanitarians
39. Louisiana State Board of Examiners in Dietetics and Nutrition
40. Louisiana State Board of Medical Examiners
41. Louisiana State Board of Nurse Examiners
42. Louisiana State Board of Optometry Examiners
43. Louisiana State Board of Physical Therapy Examiners
44. Louisiana State Board of Practical Nurse Examiners
45. Louisiana State Planning Council on Developmental Disabilities
46. Medical Education Commission
47. Minority Health Affairs Commission
48. Nursing Supply and Demand Commission
49. Physicians Assistance Advisory Committee
50. Radiologic Technology Board of Examiners
51. Southern Louisiana Drinking Water Study Commission
52. State Board of Electrolysis
53. State Board of Examiners for Psychologists
54. State Board of Veterinary Medical Examiners
55. State Office of Comprehensive Health Planning
56. Statewide Health Coordinating Council
57. The Medicaid Drug Program Committee
58. Water Supply and Sewerage Systems Certification Committee

VIII. Department of Insurance

1. Office of the Commissioner of Insurance
2. Office of Management and Finance
3. Division of Legal Services
4. Division of Public Affairs
5. Division of Minority Affairs
6. Office of Receivership
7. Office of Licensing and Compliance
8. Office of Property and Casualty
9. Office of Health Insurance
10. Office of Financial Solvency
11. Advisory Committee of the Louisiana Consortium Insurance and Financial Services
12. Advisory Committee on Equal Opportunity
13. Advisory Committee to the Basic Health Insurance Plan Pilot Program Development Council
14. Board of Directors of the Property Insurance Association of Louisiana
15. Examination Review Council
16. Governing Committee of the Louisiana Automobile Insurance Plan
17. Governing Committee of the Louisiana Insurance Underwriting Plan
18. Governing Committee of the Louisiana Joint Reinsurance Plan
19. Insurance Education Advisory Council
20. Louisiana Health Care Commission
21. Louisiana Insurance Rating Commission
22. The Board of Directors of the Louisiana Consortium of Insurance and Financial Services

IX. Department of Justice

1. Executive Office of the Attorney General
2. Administrative Services Division
3. Public Protection Division
4. Litigation Division
5. Civil Division
6. Criminal Division
7. Investigation Division
8. Gaming Division
9. Law Enforcement Officers and Firemen's Survivor Benefit Review Board

X. Department of Labor

1. Executive Office of the Secretary
2. Office of Management and Finance
3. Office of Occupational Information Services
4. Office of Workers' Compensation Administration
5. Office of Workforce Development
6. Office of Regulatory Services
7. Apprenticeship Council
8. Board of Barber Examiners
9. Employment Security Board of Review
10. Governor's State Manpower Services Council
11. Louisiana Private Employment Service Advisory Council
12. Louisiana Workers' Compensation Second Injury Board
13. State Board of Examiners of Journeymen Plumbers
14. Workers' Compensation Advisory Council

XI. Department of Natural Resources

1. Executive Office of the Secretary
2. Office of Management and Finance
3. Office of Mineral Resources
4. Office of Coastal Restoration and Management
5. Office of Conservation
6. The Oil Field Site Restoration Commission
7. Atchafalaya Basin Advisory Committee
8. State Mineral Board
9. Louisiana-Mississippi Tangipahoa River Waterway Compact
10. Atchafalaya Basin Program
11. Atchafalaya Basin Research and Promotion Board
12. Ground Resource Commission
13. Oyster Lease Damage Evaluation Board

XII. Department of Public Safety and Corrections

1. Executive Office of the Secretary
2. Office of Management and Finance for Correction Services
3. Office of Management and Finance for Public Safety Services
4. Office of Legal Affairs
5. Office of State Police
6. Office of Motor Vehicle
7. Office of State Fire Marshal, Code Enforcement and Building Safety
8. Office of Adult Services
9. Office of the Youth Development
10. Any prison, detention center, or corrections facility under the supervision of the Department of Public

Safety and Corrections shall be considered its own agency.

11. Board of Pardons
12. Board of Parole
13. Board of Review for Extra Compensation for Municipal Police Officers
14. Board of Review to the Fire Marshal
15. Emergency Response Commission
16. Fire Prevention Board of Review
17. Firemen's Supplemental Pay Board
18. Interagency Recreation Board
19. Liquified Petroleum Gas Commission
20. Louisiana Alarm Services Advisory Board
21. Louisiana Gaming Control Board
22. Louisiana Gaming Control Board Hearing Office
23. Louisiana Highway Safety Commission
24. Louisiana Medical Advisory Council
25. Louisiana Motor Carrier Advisory Committee
26. Louisiana State Board of Private Investigator Examiners
27. Louisiana State Board of Private Security Examiners
28. Prison Enterprises Board
29. Weights and Standards Mobile Police Force

XIII. Department of Public Service—Public Service Commission

XIV. Department of Revenue

1. Executive Office of the Secretary
2. Office of Management and Finance
3. Office of Tax Administration-Group 1
4. Office of Tax Administration-Group 2
5. Office of Tax Administration-Group 3
6. Office of Alcohol and Tobacco Control
7. Office of Legal Affairs
8. Office of Charitable Gaming
9. Louisiana Tax Commission
10. Louisiana Tax Free Shopping Commission
11. Public Administrators Appointed Pursuant to R.S. 9:1581
12. Uniform Electronic Local Returns and Remittance Advisory Committee

XV. Department of Social Services

1. Executive Office of the Secretary
2. Office of Management and Finance
3. Office of Family Support
4. Office of Community Services
5. Any regional, parish, or district office under the supervision of the Department of Social Services shall be considered its own agency.
6. Blind Vendor's Trust Fund Advisory Board
7. Interpreters Certification Board
8. Louisiana Advisory Committee on Licensing of Child Care Facilities and Child Placing Agencies
9. Louisiana Child Care Challenge Committee
10. Louisiana Children's Trust Fund Board
11. Louisiana Commission for the Deaf
12. Louisiana Committee on Private Child Care
13. Louisiana Welfare Reform Coordinating Committee
14. Traumatic Head and Spinal Cord Injury Trust Fund Advisory Board

XVI. Department of the State

1. Secretary of the State
2. First Stop Shop
3. Office of the Uniform Commercial Code
4. Historical Records Advisory Commission
5. First Stop Shop Coordinating Council
6. Advisory Board of the Old State Capitol
7. Eddie G. Robinson Museum Commission
8. State Board of Elections Supervisors
9. Regional Museum Governing Board of Louisiana State Exhibit Museum
10. Louisiana State Exhibit Museum
11. Louisiana State Cotton Museum
12. Tioga Heritage Park and Museum and Governing Board
13. Jean Lafitte Marine Fisheries Museum and Governing Board
14. Louisiana Military Museum and Governing Board
15. Louisiana Delta Music Museum and Governing Board
16. Mansfield Women's Museum and Governing Board
17. Louisiana State Oil and Gas Museum
18. Garyville Timber Mill Museum
19. Livingston Parish Museum and Cultural Center

XVII. Department of State Civil Service

1. State Civil Service Commission
2. State Civil Service
3. Advisory Board on Inservice Education and Training
4. Board of Ethics
5. State Police Service
6. Division of Administrative Law
7. State Examiner of Municipal Fire and Police Civil Service and the Office of the State Examiner of Municipal Fire and Police Civil Service

XVIII. Department of Transportation and Development

1. Executive Office of the Secretary
2. Office of Management and Finance
3. Office of Highways
4. Office of Planning and Programming
5. Office of Operations
6. Office of Public Works and Intermodal Transportation
7. Allen Parish Reservoir District
8. Louisiana High Speed Rail Transportation Advisory Council
9. Louisiana Investment in Infrastructure for Economic Prosperity Commission
10. Louisiana Professional Engineering and Land Surveying Board
11. Louisiana Transportation Authority
12. Mississippi River Bridge Authority
13. Mississippi River Parkway Commission of Louisiana
14. Mississippi-Louisiana Rapid Transit Commission
15. Offshore Terminal Authority
16. Poverty Point Reservoir District

17. Sabine River Authority
18. Washington Parish Reservoir District
19. West Ouachita Reservoir Commission

XIX. Department of the Treasury

1. Executive Office of the State Treasurer
2. Office of Management and Finance
3. Office of the State Bond Commission
4. Office of the State Depository Control and Investment
5. Assessors' Retirement Fund and Their Board
6. Clerks of Court Retirement System and Their Board
7. District Attorney's Retirement System and Their Board
8. Firefighters' Retirement System and Their Board
9. Interim Emergency Board
10. Louisiana Deferred Compensation Commission
11. Louisiana Housing Finance Agency
12. Louisiana Infrastructure Bank
13. Louisiana Infrastructure Bank Board of Directors
14. Louisiana School Employees' Retirement System and Their Board
15. Louisiana State Employees' Retirement System and Their Board
16. Medical Disability Board
17. Municipal Employees' Retirement System and Their Board
18. Municipal Police Employees' Retirement System and Their Board
19. Parochial Employees' Retirement System and Their Board
20. State Bond Commission
21. State Police Retirement Fund and Their Board
22. Teachers Retirement System of Louisiana and Their Board
23. The Registrars of Voters Employees' Retirement System and Their Board
24. The Sheriff's Pension and Relief Fund and Their Board

XX. Department of Veterans Affairs

1. Executive Office of the Secretary
2. Office of Management and Finance
3. Veterans Affairs Commission
4. Any Veteran Home under the jurisdiction of the department shall be considered its own agency.

XXI. Department of Wildlife and Fisheries

1. Executive Office of the Secretary
2. Office of Management and Finance
3. Office of Fisheries
4. Office of Wildlife
5. Louisiana Artificial Reef Development Council
6. Louisiana Fur and Alligator Advisory Council
7. Wildlife and Fisheries Commission
8. Iatt Lake State Game and Fish Preserve
9. Saline Lake Game and Fish Preserve
10. Louisiana Seafood Promotion and Marketing Board
11. Gulf States Marine Fisheries Commission
12. Nantachie Lake State Game and Fish Preserve
13. Northwest Louisiana Game and Fish Preserve
14. Crab Task Force
15. Mullet Task Force
16. Oyster Task Force

XXII. Division of Administration

1. Executive Office of the Commissioner
2. Office of Community Development
3. Comprehensive Public Training Program
4. Office of Computing Services
5. Office of Contractual Review
6. Office of Electronic Services
7. Office of Facility Planning and Control
8. Office of Finance and Support Services
9. Office of Group Benefits
10. Office of Human Resources
11. Office of Information Services
12. Office of Information Technology
13. Office of the Inspector General
14. Louisiana Property Assistance Agency
15. Office of Planning and Budget
16. Office of Risk Management
17. Office of State Buildings
18. State Land Office
19. Office of State Mail Operations
20. Office of State Printing and Forms Management
21. Office of State Purchasing and Travel
22. Office of the State Register
23. Office of the State Uniform Payroll
24. Office of Statewide Reporting and Accounting Policy
25. TANF Executive Office of Oversight & Evaluation
26. Office of Telecommunications Management

XXIII. Agencies Not Placed within a Specific Executive Branch Department

1. Advisory Board of the Old State Capital Museum
2. Associated Branch Pilots for the Port of Lake Charles Fee Commission
3. Associated Branch Pilots for the Port of New Orleans Fee Commission
4. Advisory Committee on Regulation of Water Well Drillers
5. Advisory Council for Early Identification of Hearing Impaired Infants
6. Agricultural Education Advisory Committee
7. Berwick Port Pilotage Fee Commission
8. Board of Commissioners of the South Terrebonne Parish Tidewater Management and Consolidated District
9. Board of Commission of Tri-Parish Drainage and Water Conservation District
10. Board of Commissioner for the Amite River Basin Drainage
11. Board of Commissioner of the Louisiana Airport Authority
12. Board of Commissioners for the Millennium Port Authority
13. Board of Commissioners for the Port of New Orleans
14. Board of Commissioners of the Poverty Point Reservoir District
15. Board of Commissioners of the Ascension-St. James Airport and Transportation Authority

16. Board of Commissioners of the Atchafalaya Basin Levee District
17. Board of Commissioners of the Bayou D'Arbonne Lake Watershed District
18. Board of Commissioners of the Bayou Lafourche Freshwater District
19. Board of Commissioners of the Bossier Levee District
20. Board of Commissioners of the Caddo Levee District
21. Board of Commissioners of the Capital Area Groundwater Conservation District
22. Board of Commissioners of the East Jefferson Levee District
23. Board of Commissioners of the Ernest N. Morial-New Orleans Exhibition Hall Authority
24. Board of Commissioners of the Fifth Louisiana Levee District
25. Board of Commissioners of the Grand Isle Levee District
26. Board of Commissioners of the John K. Kelly Grand Bayou Reservoir District
27. Board of Commissioners of the Lafourche Basin Levee District
28. Board of Commissioners of the Lake Borgne Basin Levee District
29. Board of Commissioners of the Lake Charles Harbor and Terminal District
30. Board of Commissioners of the Morgan City Harbor and Terminal District
31. Board of Commissioners of the Natchitoches Levee and Drainage District
32. Board of Commissioners of the Nineteenth Louisiana Levee District
33. Board of Commissioners of the North Bossier Levee District
34. Board of Commissioners of the North Lafourche Conservation, Levee and Drainage District
35. Board of Commissioners of the North Terrebonne Parish Drainage and Conservation District
36. Board of Commissioners of the Orleans Levee District
37. Board of Commissioners of the Pontchartrain Levee District
38. Board of Commissioners of the Red River Levee and Drainage District
39. Board of Commissioners of the Red River, Atchafalaya and Bayou Boeuf Levee District
40. Board of Commissioners of the South Lafourche Levee District
41. Board of Commissioners of the St. Bernard Port Harbor and Terminal District
42. Board of Commissioners of the West Jefferson Levee District
43. Board of Control for Southern Regional Education
44. Board of Directors to the eight regional service centers of the Department of Education
45. Board of Directors for the Louisiana Tourism Promotion District
46. Board of Directors of the Louisiana State Lottery Corporation
47. Board of Examiners of Bar Pilots for the Port of New Orleans
48. Board of Morgan City, Berwick Port Pilot Commissioners and Examiners
49. Board of New Orleans and Baton Rouge Steamship Pilot Commissioner for the Mississippi River
50. Board of River Port Pilot Commissioners and Examiners for the Port of New Orleans
51. Board of River Port Pilot Commissioners and Examiners for the Port of Lake Charles
52. Board of Trustees of the Harbor Police Employees' Retirement System
53. Board of Trustees of the Louisiana Imports and Exports Trust Authority
54. Board of Trustees of the Louisiana Public Facilities Authority
55. Bossier Parish Pari-Mutuel Live Racing Facility Economic Redevelopment & Gaming Control Assistance District Board of Directors
56. Cane Waterway Commission
57. Cash Management Review Board
58. Child Death Review Panel
59. Choose Life Advisory Council
60. Commercial Building Energy Conservation Code Advisory Committee
61. Compensation Review Commission
62. Correctional Facilities Corporation
63. Correctional Institutions
64. Crescent City Connection Oversight Authority
65. Crescent River Port Pilots Association Fee Commission
66. Education Commission of the States
67. Election Board of the Louisiana Hall of Fame of the Arts
68. Emergency Medical Services for Children Advisory Council
69. Environmental Services Commission of St. Tammany Parish
70. Flood Control Project Evaluation Committee
71. Governing Board of the Caddo Pine Island Oil and Historical Museum
72. Governing Board of the Edward Douglass White Historic Site Museum
73. Governing Board of the Capital Area Human Services District
74. Grand Isle Port Commission
75. Greater Baton Rouge Port Commission
76. Greater Lafourche Port Commission
77. Henderson Poor Fund
78. Homeowner's Insurance and Property Insurance Task Force
79. Integrated Criminal Justice Information System Policy Board
80. Interstate Compact for the Supervision of Paroles' and Probationers
81. Interstate Compact on Juveniles
82. Jefferson Parish Human Services Authority
83. Judicial Compensation Commission
84. Judiciary Commission of Louisiana
85. Louisiana Cancer and Lung Trust Fund Board
86. Louisiana Commission on Addictive Disorders
87. Louisiana Data Base Commission
88. Louisiana Environmental Education Commission
89. Louisiana Executive Board on Aging
90. Louisiana Film and Video Commission

91. Louisiana Geographic Information Systems Council
92. Louisiana Historical Jazz Society
93. Louisiana Historical Records Advisory Board
94. Louisiana Home Instruction Program for Youngsters
95. Louisiana Judicial College
96. Louisiana Litter Reduction and Public Action Commission
97. Louisiana Music Commission
98. Louisiana Naval War Memorial Commission
99. Louisiana Pan African Commission
100. Louisiana Recreational Fishing Development Board
101. Louisiana Resource Recovery and Development Authority
102. Louisiana School Asbestos Abatement Commission
103. Louisiana Seafood Promotion and Marketing Board
104. Louisiana Soybean and Grain Research and Promotion Board
105. Louisiana State Board of Practical Nurse Examiners
106. Louisiana State Office of Rural Health
107. Louisiana State Polygraph Board
108. Louisiana Tuition Trust Authority
109. Natchitoches Parish Port Commission
110. New Orleans and Baton Rouge Steamship Pilotage Fee Commission
111. Office Facilities Corporation
112. Red River Compact Commission
113. Red River Parish Port Commission
114. Red River Waterway Commission
115. Regional and state advisory councils for community and family support services
116. Residential Building Contractors Subcommittee
117. Rev. Avery C. Alexander Memorial Commission
118. River Region Cancer Screening and Early Detection District Commission
119. Sabine River Compact Administration
120. School and District Accountability Advisory Council
121. Secondary School Redesign Study Commission
122. South Central Regional Transportation Authority
123. South Louisiana Port Commission
124. South Tangipahoa Parish Port Commission
125. Southern Growth Policies Board
126. Southern Rapid Rail Transit Compact
127. Sparta Groundwater Conservation District Board of Commissioners
128. St. Landry Par. Pari-Mutuel Live Racing Facility Economic Redevelopment and Gaming Control Assistance Board of Directors
129. State Artist Laureate
130. State Plumbing Board
131. State Technology Advisory Committee
132. Telephone Access Program Board
133. Board of Supervisors of Community and Technical Colleges
134. Any technical college or community college under the supervision of the Board of Supervisors of Community and Technical Colleges shall be considered its own agency.

D. In the event the agency of an executive branch official is not listed in the above list, the lobbyist shall exercise due diligence to identify the department and agency of the executive branch official and properly report the expenditure.

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 31:1228 (June 2005).

§2113. Registration

A. Any individual who is employed as a lobbyist or who receives compensation to act in a representative capacity for the purpose of lobbying shall register, on forms provided by the board, as an executive branch lobbyist with the board within five days of making expenditures of $500 or more on executive branch officials in a calendar year for the purpose of lobbying.

B. Any individual who does not make expenditures of $500 or more on executive branch officials but who registers as an executive branch lobbyist with the board shall file expenditure reports as required by the Lobbyist Disclosure Act and shall be liable for any late fee assessed for the late filing of a report.

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 31:1234 (June 2005).

§2114. Registration; Disclosure

A. A lobbyist is required to list on his registration form the name and address of each person by whom he is employed and, if different, whose interests he represents, including the business in which that person is engaged, if expenditures are made by either the lobbyist, his employer or the principal with respect to lobbying on behalf of that person.

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 31:1235 (June 2005).

§2115. Reporting; In General

A. An expenditure should be reported by the lobbyist who would be required to account for the expenditure as an ordinary and necessary expense directly related to the active conduct of the lobbyist's, his employer's or the principal's trade or business.

B. Any expenditure made by a lobbyist on an executive branch official shall be reported regardless of a pre-existing personal or familial relationship.

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 31:1235 (June 2005).

§2117. Reporting; Additional Disclosure Requirements under R.S. 49:76(E)

A. If the expenditures for an individual executive branch official exceeds $50 on any one occasion or exceeds an aggregate of $250 during a six-month reporting period, then R.S. 49:76E requires that the name and agency of the

executive branch official and the total amount of expenditures spent on that individual in a reporting period be disclosed on Schedule A of the expenditure report.

B. Any expenditure made in connection with a sporting or cultural event as permitted by R.S. 42:1123(13) shall be included in calculating the amount spent on an elected executive branch official and in determining whether additional reporting as required by R.S. 49:76E is necessary.

C. Any expenditure subject to additional reporting under R.S. 49:76F shall not be included in calculating the amount spent on an individual executive branch official for purposes of determining whether additional reporting is required by R.S. 49:76E.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 31:1235 (June 2005).

§2119. Reporting; Additional Disclosure Requirements under R.S. 49:76(F)

A. If more than 25 executive branch officials are invited to a reception, social gathering or other function during a reporting period, then R.S. 49:76(F) requires that the following information be disclosed on Schedule B of the expenditure report:

1. the name of the group or groups of persons invited;

2. the date of the function;

3. the location of the function;

4. all expenditures made in connection with the function.

B. An executive branch official is considered to be invited only if he receives an invitation specifically addressed to him.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 31:1235 (June 2005).

§2121. Election by Employer or Principal to Report for Lobbyists

A. An employer or principal may elect, pursuant to R.S. 49:76G(2)(a), to file a single expenditure report.

B. If an employer or principal elects to file such reports, an Employer/Principal Designation form, as promulgated in this Chapter, must be completed and submitted to the board by January 31. The designation shall be effective for one year and requires the employer or principal to report all expenditures made by all lobbyists representing its interests during that calendar year.

C. In the event an employer or principal files an expenditure report which does not include a statement of expenditures for one of its lobbyists, the report shall not be timely filed until a complete report disclosing the expenditures of all of its lobbyists is filed.

D. Late fees shall continue to accumulate until a complete report is filed.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 31:1235 (June 2005).

§2123. Expenditures Made Directly by the Principal or Employer

A. An expenditure made directly by an employer or principal in a lobbyist's presence shall be attributed to and reported by the lobbyist. If more than one lobbyist is present, then the employer or principal shall designate which lobbyist shall report the total amount of the expenditure.

B. An employer or principal who makes such an expenditure is required to provide the following information to the lobbyist no later than two business days after the close of each reporting period:

1. the total amount of the expenditure;

2. the amount of the expenditure that has been attributed to the lobbyist and which must be reported by the lobbyist;

3. the nature of the expenditure;

4. the names of the executive branch officials involved; and

5. the agencies of the executive branch officials involved.

C. Failure by the employer or principal to provide the necessary information to its lobbyist regarding such expenditure will cause the employer or principal to be required to register and report as a lobbyist and may subject the employer or principal to penalties.

AUTHORITY NOTE: Promulgated in accordance with R.S. 42:1134(A).
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 31:1235 (June 2005).

§2131. Executive Lobbying Registration/Renewal

EXECUTIVE LOBBYING REGISTRATION/ RENEWAL FOR THE YEAR OF _____
(Fill in year.)

_____
Executive Lobbyist Registration No.

FOR OFFICE USE ONLY
Postmark Date:_____

Instructions

- Print in ink or type.
- Complete form and return with **$110** registration fee to the Board of Ethics, 2415 Quail Dr., 3rd Floor, Baton Rouge LA 70808, or fax to (225) 763-8787. For information or assistance, call (225) 763-8777 or (800) 842-6630.
- Initial registrations must be submitted within 5 days of (1) employment as a lobbyist or (2) first action requiring registration. Registrations expire as of December 31 unless a renewal is submitted between December 1 and January 31.

1. NAME_____
   Last First MI

2. BUSINESS PHONE _____
   Area Code and Phone Number

3. FAX NUMBER _____

4. BUSINESS ADDRESS _____
   Street and No. City State Zip

   MAILING ADDRESS _____
   Street and No. City State Zip

5. EMPLOYER _____

6. EMPLOYER'S ADDRESS _____
   Street and No. City State Zip

7. LIST BELOW (a) Names of persons, groups, or organizations which you represent and on whose behalf expenditures are made; (b) the address of each such person, group, or organization you represent; (c) the type of business each is engaged in or the purpose or function of the organization or group; (d) whether or not the client or someone else pays you to lobby.

   1. Name _____

      Address _____

      Business or purpose _____

      Does this person pay you? _____ _____

      If No, who pays you?_____

Page _____ of _____

EXECUTIVE LOBBYING REGISTRATION FORM

_____
Executive Lobbyist Registration No.

2. Name _____

   Address _____

   Business or purpose _____

   Does this person pay you? _____ _____

   If No, who pays you? _____

3. Name _____

   Address _____

   Business or purpose _____

   Does this person pay you? _____

   If No, who pays you? _____

4. Name _____

   Address _____

   Business or purpose _____

   Does this person pay you? _____

   If No, who pays you? _____

CERTIFICATION OF ACCURACY

I hereby certify that the information contained herein is true and correct to the best of my knowledge, information, and belief; and that no information required by LSA-R.S. 49:71 et seq. has been deliberately omitted.

_____
Signature of Lobbyist

ATTACH
2" x 2"
PHOTOGRAPH
HERE

Page _____ of _____

EXECUTIVE LOBBYING REGISTRATION/RENEWAL ATTACHMENT FORM

_____
Executive Lobbyist Registration No.

Instructions:

- Please make as many copies of this form as necessary in order to complete Question 7 of the Executive Lobbying Registration/Renewal Form.
- Fill in your Executive Lobbyist Registration No. in the space provided in the upper right hand corner of the page.
- Please identify each page with a page number and indicate the total number of pages being submitted.

1. Name _____

   Address _____

   Business or purpose _____

   Does this person pay you? _____

   If No, who pays you? _____

2. Name _____

   Address _____

   Business or purpose _____

   Does this person pay you? _____

   If No, who pays you?_____

3. Name _____

   Address _____

   Business or purpose _____

   Does this person pay you? _____

   If No, who pays you? _____

4. Name _____

   Address _____

   Business or purpose _____

   Does this person pay you? _____

   If No, who pays you? _____

Page _____ of _____

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 30:2689 (December 2004), repromulgated LR 31:1236 (June 2005).

§2133. Executive Lobbying Supplemental Registration

_____
Executive Lobbyist Registration No.

EXECUTIVE LOBBYING
SUPPLEMENTAL REGISTRATION FORM

FOR OFFICE USE ONLY
Postmark Date:_____

Instructions

- Print in ink or type.
- Complete form and return to Board of Ethics, 2415 Quail Dr., 3rd Floor, Baton Rouge LA 70808, or fax to (225) 763-8787. For information or assistance, call (225) 763-8777 or (800) 842-6630. No fee is required.
- This form must be submitted within 5 days of any changes in your registration form or to add employers or those you represent. It must be submitted within 10 days of any termination of employment or representations.

1. NAME _____
   Last First MI

   NAME *CHANGE* _____
   Last First MI

2. BUSINESS PHONE _____
   (Area Code) Phone Number

3. FAX PHONE _____

4. BUSINESS ADDRESS _____
   Street and No. City State Zip

   MAILING ADDRESS _____
   Street and No. City State Zip

5. EMPLOYER _____

6. EMPLOYER'S ADDRESS _____
   Street and No. City State Zip

7. Have you ceased or terminated **all** lobbying activities requiring registration? Yes_____ No_____

8. LIST BELOW (a) Names of persons, groups, or organizations which you are adding or eliminating; (b) the address of each such person, group, or organization listed; (c) the type of business each is engaged in or the purpose or function of the organization or group; (d) whether or not the client or someone else pays you to lobby; and (e) the date of termination if applicable.

   1) Name _____

      Address _____

      Business or purpose _____

      ☐ New Representation
      Does this person pay you? _____

      If No, who pays you?_____ _____

      ☐ Terminated Representation as of _____

EXECUTIVE LOBBYING
SUPPLEMENTAL REGISTRATION FORM

_____
Executive Lobbyist Registration No.

2) Name_____

Address _____

Business or purpose _____

☐ New Representation
Does this person pay you? _____

If No, who pays you?_____

☐ Terminated Representation as of _____

3) Name _____

Address _____

Business or purpose _____

☐ New Representation
Does this person pay you? _____

If No, who pays you?_____

☐ Terminated Representation as of _____

CERTIFICATION OF ACCURACY

I hereby certify that the information contained herein is true and correct to the best of my knowledge, information, and belief; and that no information required by LSA-R.S. 49:71 et seq. has been deliberately omitted.

_____
Signature of Lobbyist

Page 2 of 2

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 30:2692 (December 2004), repromulgated LR 31:1239 (June 2005).

§2135. Executive Lobbying Expenditure Reporting Designation

EXECUTIVE LOBBYING EXPENDITURE REPORTING DESIGNATION

Pursuant to LSA-R.S. 49:76G(2)(a), an employer or principal of a lobbyist may elect to file the Lobbying Expenditure Reports as required by Title 49 on behalf of **all** of its lobbyists. The designation form is to be completed and submitted by **January 31st** of each year. This designation will be effective for the reporting of all expenditures made during that calendar year. This form must include a listing of all persons for whom you will be reporting. Also, please list a contact person who will be responsible for completing such reports and for receiving any correspondence regarding reporting deadlines and late fees. Failure to fully complete this form may render your designation ineffective.

Hand deliver or mail to: **2415 Quail Drive, 3rd Floor, Baton Rouge, LA 70808**
OR
Fax to: **(225) 763-8787 or (225) 763-8780**

FOR OFFICE USE ONLY

Postmark Date_____

1. EMPLOYER/PRINCIPAL _____

2. BUSINESS ADDRESS _____
Street and No. City State Zip

MAILING ADDRESS _____
Street and No. City State Zip

3. CONTACT PERSON: _____
Last First MI

4. MAILING ADDRESS _____
(*If different from above*) Street and No. City State Zip

5. PHONE NUMBER _____
Area Code and Phone Number

6. FAX NUMBER _____
Area Code and Fax Number

7. Names of Lobbyists who are employed by or who represent the interests of the Principal listed above:

1) Name: _____EXEC.ID.#_____
Last First MI

2) Name: _____EXEC.ID.#_____
Last First MI

3) Name: _____EXEC.ID.#_____
Last First MI

Page 1 of 2

4) Name: _____EXEC.ID.#_____
Last First MI

5) Name: _____EXEC.ID.#_____
Last First MI

6) Name: _____EXEC.ID.#_____
Last First MI

7) Name: _____EXEC.ID.#_____
Last First MI

8) Name: _____EXEC.ID.#_____
Last First MI

9) Name: _____EXEC.ID.#_____
Last First MI

10) Name: _____EXEC.ID.#_____
Last First MI

Pursuant to LSA-R.S. 49:76G(2)(a), _____ (name of employer or principal) is exercising the option of filing expenditure reports for all executive lobbying expenditures made of my/its behalf by persons representing my/its interests during the year of _____. I hereby certify that the information contained herein is true and correct to the best of my knowledge, information and belief; and that no information required by LSA-R.S. 49:71 et seq. has been deliberately omitted.

_____
Signature of Employer/Principal or Representative

_____
Print of Type Full Name

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 30:2694 (December 2004 repromulgated LR 31:1241 (June 2005).

§2137. Executive Lobbying Expenditure Report

EXECUTIVE LOBBYING EXPENDITURE REPORT

FORM 507

☐ COVERING JANUARY 1- JUNE 30, _____ - DUE AUGUST 15

☐ COVERING JANUARY 1 - DECEMBER 31, _____ - DUE FEBRUARY 15

Mail to: The Board of Ethics, 3415 Quail Drive, Third Floor, Baton Rouge, LA 70808

OR

Fax to: (225) 763-8787 or (225) 763-8780

Executive Lobbyist Registration No. _____

FOR OFFICE USE ONLY

Postmark Date_____

1. NAME _____
   Last First MI

   NAME CHANGE_____
   Last First MI

2. BUSINESS ADDRESS _____
   Street and No. City State Zip

   MAILING ADDRESS _____
   Street and No. City State Zip

3. BUSINESS PHONE _____
   Area Code and Phone Number

4. Total of all executive lobbying expenditures made January 1 through June 30: $ _____
   (Include expenditures from Schedules A and B)

5. Total of all executive lobbying expenditures made July1 through December 30: $ _____
   (When Applicable) (Include expenditures from Schedules A and B)

6. Total of all executive lobbying expenditures made during calendar year: $ _____
   (Line 4 added to Line 5 should equal Line 6)

7. Did you make an expenditure exceeding $50 on one occasion for an executive branch official:

   From January 1 through June 30? ☐ Yes ☐ No
   From July 1 through December 31? ☐ Yes ☐ No ☐ NA

   If the answer to either question in Number 7 above is YES, complete Schedule A and attach.

8. Did you make expenditures exceeding the sum of $250 for an executive branch official:

   From January 1 through June 30? ☐ Yes ☐ No
   From July 1 through December 31? ☐ Yes ☐ No ☐ NA

   If the answer to either question in Number 8 above is YES, complete Schedule A and attach.

9. Did you expend funds for any reception, social gathering, or other function to which more than twenty-five executive branch officials were invited during this reporting period?

   Yes ☐ No ☐

If the answer to Number 9 above is YES, complete Schedule B and attach.

Page 1 of _____

EXECUTIVE LOBBYING EXPENDITURE REPORT

_____
Executive Lobbyist Registration No.

10. PROVIDE BELOW (a) the name of the executive branch department as listed in the executive branch schedule; (b) the aggregate total of all expenditures attributable to the department made during the January 1 - June 30 reporting period; (c) the aggregate total of all expenditures attributable to the department made during the July 1 - December 31 reporting period when applicable; (d) the aggregate total of all expenditures made in a calendar year attributable to the department.

1) a. Name of Department: _____

b. Total of all expenditures made January 1 through June 30: $ _____

c. Total of all expenditures made July 1 through December 31: $ _____
(When applicable)

d. Total of all expenditures made during the calendar year: $ _____

2) a. Name of Department: _____

b. Total of all expenditures made January 1 through June 30: $ _____

c. Total of all expenditures made July 1 through December 31: $ _____
(When applicable)

d. Total of all expenditures made during the calendar year: $ _____

3) a. Name of Department: _____

b. Total of all expenditures made January 1 through June 30: $ _____

c. Total of all expenditures made July 1 through December 31: $ _____
(When applicable)

d. Total of all expenditures made during the calendar year: $ _____

11. PROVIDE BELOW (a) the name of the executive branch department and the individual agency as listed in the executive branch schedule; (b) the aggregate total of all expenditures attributable to the agency made during the January 1 - June 30 reporting period; (c) the aggregate total of all expenditures attributable to the agency made during the July 1 - December 31 reporting period when applicable; (d) the aggregate total of all expenditures made in a calendar year attributable to the agency.

1) a. Name of Department and Individual Agency: _____

b. Total of all expenditures made January 1 through June 30: $ _____

c. Total of all expenditures made July 1 through December 31: $ _____
(When applicable)

d. Total of all expenditures made during the calendar year: $ _____

2) a. Name of Department and Individual Agency: _____

b. Total of all expenditures made January 1 through June 30: $ _____

c. Total of all expenditures made July 1 through December 31: $ _____
(When applicable)

d. Total of all expenditures made during the calendar year: $ _____

3) a. Name of Department and Individual Agency: _____

b. Total of all expenditures made January 1 through June 30: $ _____

c. Total of all expenditures made July 1 through December 31: $ _____
(When applicable)

d. Total of all expenditures made during the calendar year: $ _____

CERTIFICATION OF ACCURACY

I hereby certify that the information contained herein is true and correct to the best of my knowledge, information, and belief; that all reportable expenditures have been included herein; and that no information required by LSA-R.S. 49:71 et seq. has been deliberately omitted.

_____
Signature of Lobbyist

Page 3 of _____

SCHEDULE A: EXPENDITURES FOR EXECUTIVE BRANCH OFFICIALS

This schedule must be completed if you answered YES to either question 7 or 8 on the Executive Lobbying Expenditure Report. If, during the period January 1 through June 30 or the period July 1 through December 31, you made either a) an expenditure for any executive branch official exceeding $50 on any one occasion or b) aggregate expenditures exceeding $250 for any one executive branch official during a reporting period, then you must provide the aggregate total of expenditures made on that individual in that reporting period. **NOTE: Report covering July - December is cumulative. You must include reportable expenditures from the first half of the year in Column #3.**

1. EXECUTIVE OFFICIAL'S NAME	2. OFFICIAL'S AGENCY AS LISTED IN THE EXECUTIVE BRANCH SCHEDULE	3. AMOUNT OF EXPENDITURES MADE ON AN OFFICIAL FOR WHOM YOU EITHER SPENT OVER $50 ON ONE OCCASION OR MADE EXPENDITURES EXCEEDING $250 BETWEEN JANUARY 1 AND JUNE 30	4. AMOUNT OF EXPENDITURES MADE ON AN OFFICIAL FOR WHOM YOU EITHER SPENT OVER $50 ON ONE OCCASION OR MADE EXPENDITURES EXCEEDING $250 BETWEEN JULY 1 AND DECEMBER 31	5. TOTAL OF COLUMNS 3 AND 4

Page _____ of _____

SCHEDULE B: EXPENDITURES FOR RECEPTIONS, ETC.			
This Schedule must be completed if you answered YES to question 9 on the Executive Lobbying Expenditure Report. The following information must be provided for all receptions, social gatherings, or other functions to which more than twenty-five executive branch officials were invited. List the name of the group or groups invited, the date of the event, physical location of the event including the city, and the total amount expended.			
1. NAME(S) OF GROUP(S) INVITED	2. DATE OF RECEPTION	3. LOCATION OF RECEPTION	4. TOTAL AMOUNT OF EXPENDITURES

Page _____ of _____

EXECUTIVE LOBBYING EXPENDITURE REPORT ATTACHMENT

Executive Lobbyist Registration No. _____

Instructions:

- Please make as many copies as necessary to complete Item #11 of your executive lobbying expenditure report.
- Fill in your executive lobbyist registration number in the space provided in the upper right hand corner of the page.
- Identify each page with a page number and indicate the total number of pages being submitted.

1) a. Name of Department and Individual Agency: _____

b. Total of all expenditures made January 1 through June 30: $ _____

c. Total of all expenditures made July 1 through December 31: $ _____
(When applicable)

d. Total of all expenditures made during the calendar year: $ _____

2) a. Name of Department and Individual Agency: _____

b. Total of all expenditures made January 1 through June 30: $ _____

c. Total of all expenditures made July 1 through December 31: $ _____
(When applicable)

d. Total of all expenditures made during the calendar year: $ _____

3) a. Name of Department and Individual Agency: _____

b. Total of all expenditures made January 1 through June 30: $ _____

c. Total of all expenditures made July 1 through December 31: $ _____
(When applicable)

d. Total of all expenditures made during the calendar year: $ _____

4) a. Name of Department and Individual Agency: _____

b. Total of all expenditures made January 1 through June 30: $ _____

c. Total of all expenditures made July 1 through December 31: $ _____
(When applicable)

d. Total of all expenditures made during the calendar year: $ _____

Page _____ of _____

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 31:1243 (June 2005).

§2139. Executive Lobbying Employer/Principal's Expenditure Report

EXECUTIVE LOBBYING
EMPLOYER/PRINCIPAL'S EXPENDITURE REPORT
Form 508

☐ COVERING JANUARY 1 THROUGH JUNE 30, _____ - DUE AUGUST 15
☐ COVERING JANUARY 1 THROUGH DECEMBER 31, _____ - DUE FEBRUARY 15

Pursuant to LSA-R.S. 49:76G(2)(a), an employer or principal of a lobbyist may elect to file the Lobbying Expenditure Reports as required by Title 49 on behalf of **all** of its lobbyists. This reporting form is to be used by principals or employers who have exercised this option by timely filing the Executive Lobbying Expenditure Reporting Designation Form and are reporting on behalf of their registered executive lobbyists.

Hand deliver or mail to: **2415 Quail Drive, 3rd Floor, Baton Rouge, LA 70808**
OR
Fax to: **(225) 763-8787 or (225) 763-8780**

FOR OFFICE USE ONLY

Postmark Date_____

1. EMPLOYER/PRINCIPAL _____

2. BUSINESS ADDRESS _____
Street and No. City State Zip

MAILING ADDRESS _____
Street and No. City State Zip

3. CONTACT PERSON: _____
Last First MI

4. MAILING ADDRESS _____
(*If different from above*) Street and No. City State Zip

5. PHONE NUMBER _____
Area Code and Phone Number

6. Names of Lobbyists who are employed by or who represent the interests of the Principal listed above:

1) Name: _____EXEC.ID.#_____
Last First MI

2) Name: _____EXEC.ID.#_____
Last First MI

3) Name: _____EXEC.ID.#_____
Last First MI

Page 1 of _____

4) Name: _____EXEC.ID.#_____
Last First MI

5) Name: _____EXEC.ID.#_____
Last First MI

6) Name: _____EXEC.ID.#_____
Last First MI

7) Name: _____EXEC.ID.#_____
Last First MI

8) Name: _____EXEC.ID.#_____
Last First MI

9) Name: _____EXEC.ID.#_____
Last First MI

10) Name: _____EXEC.ID.#_____
Last First MI

7. PROVIDE BELOW (a) the aggregate total of all expenditures during the January 1 - June 30 reporting period; (b) the aggregate total of all expenditures during the July 1 - December 31 reporting period when applicable; (c) the aggregate total of all expenditures made by the principal/employer in a calendar year.

   a. Total of all executive lobbying expenditures made January 1 through June 30: $ _____
      (Include expenditures from Schedules A and B)

   b. Total of all executive lobbying expenditures made July 1 through December 31: $ _____
      (When applicable) (Include expenditures from Schedules A and B)

   c. Total of all executive lobbying expenditures made during the calendar year: $ _____
      (Line "a" added to Line "b" should equal Line "c")

8. COMPLETE AN ATTACHMENT FORM for each of your registered executive lobbyists.

CERTIFICATION OF ACCURACY

I hereby certify that the information contained herein is true and correct to the best of my knowledge, information and belief; and that no information required by LSA-R.S. 49:71 et seq. has been deliberately omitted.

_____
Signature of Employer/Principal or Representative

_____
Print or Type Full Name

Page 2 of _____

Executive Lobbyist: _____ **Exec. ID #** _____
Last First MI

SCHEDULE A: EXPENDITURES FOR EXECUTIVE BRANCH OFFICIALS

This schedule must be completed if during the period January 1 through June 30 or the period July 1 through December 31, one of your registered executive lobbyists made either a) an expenditure for any executive branch official exceeding $50 on any one occasion or b) aggregate expenditures exceeding $250 for any one executive branch official during a reporting period, then you must provide the aggregate total of expenditures made on that individual in that reporting period. Make as many copies as are necessary. Each lobbyist should have his own Schedule A if one is required. **NOTE: Report covering July - December is cumulative. You must include reportable expenditures from the first half of the year in Column #3.**

1. EXECUTIVE OFFICIAL'S NAME	2. OFFICIAL'S AGENCY AS LISTED IN THE EXECUTIVE BRANCH SCHEDULE	3. AMOUNT OF EXPENDITURES MADE ON AN OFFICIAL FOR WHOM YOU EITHER SPENT OVER $50 ON ONE OCCASION OR MADE EXPENDITURES EXCEEDING $250 BETWEEN JANUARY 1 AND JUNE 30	4. AMOUNT OF EXPENDITURES MADE ON AN OFFICIAL FOR WHOM YOU EITHER SPENT OVER $50 ON ONE OCCASION OR MADE EXPENDITURES EXCEEDING $250 BETWEEN JULY 1 AND DECEMBER 31	5. TOTAL OF COLUMNS 3 AND 4

Page _____ of _____

SCHEDULE B: EXPENDITURES FOR RECEPTIONS, ETC.

This Schedule must be completed if on of your executive lobbyists expended funds for any receptions, social gatherings, or other functions to which more than twenty-five executive branch officials were invited. List the name of the group or groups invited, the date of the event, physical location of the event including the city, and the total amount expended. Make as many copies as are necessary. Each lobbyist should have his own Schedule B if one is required.

1. NAME(S) OF GROUP(S) INVITED	2. DATE OF RECEPTION	3. LOCATION OF RECEPTION	4. TOTAL AMOUNT OF EXPENDITURES

Page _____ of _____

EXECUTIVE LOBBYING
EMPLOYER/PRINCIPAL'S EXPENDITURE REPORT
ATTACHMENT

This attachment is to be used to complete Item #8 of Form 508, the report form for principals and employers who have elected to report on behalf of their executive lobbyists. Make as many copies of this form as needed for the completion of the expenditure report. Identify each page with a number and indicate the total number of page being submitted.

1) LOBBYIST:_____ EXEC ID # _____

A. Total of all executive lobbying expenditures made January 1 through June 30: $ _____
(Include expenditures from Schedules A and B)

Total of all executive lobbying expenditures made July1 through December 30: $ _____
(When Applicable) (Include expenditures from Schedules A and B)

Total of all executive lobbying expenditures made during calendar year: $ _____
(Adding above expenditure lines should equal this total)

B. Did this lobbyist make an expenditure exceeding $50 on one occasion for an executive branch official:

From January 1 through June 30? ☐ Yes ☐ No
From July 1 through December 31? ☐ Yes ☐ No ☐ NA

If the answer to either question in "B" above is YES, complete Schedule A and attach.

C. Did you make expenditures exceeding the sum of $250 for an executive branch official:

From January 1 through June 30? ☐ Yes ☐ No
From July 1 through December 31? ☐ Yes ☐ No ☐ NA

If the answer to either question in "C" above is YES, complete Schedule A and attach.

D. Did you expend funds for any reception, social gathering, or other function to which more than twenty-five executive branch officials were invited during this reporting period?

Yes ☐ No ☐

If the answer to "D" above is YES, complete Schedule B and attach.

Page _____ of _____

E. PROVIDE BELOW (a) the name of the executive branch department as listed in the executive branch schedule; (b) the aggregate total of all expenditures attributable to the department made by this lobbyist during the January 1-June 30 reporting period; (c) the aggregate total of all expenditures attributable to the department made by this lobbyist during the July 1-December 31 reporting period when applicable; (d) the aggregate total of all expenditures made by this lobbyist in a calendar year attributable to the department.

1) a. Name of Department: _____

b. Total of all expenditures made January 1 through June 30: $ _____

c. Total of all expenditures made July 1 through December 31: $ _____
(When applicable)

d. Total of all expenditures made during the calendar year: $ _____

2) a. Name of Department: _____

b. Total of all expenditures made January 1 through June 30: $ _____

c. Total of all expenditures made July 1 through December 31: $ _____
(When applicable)

d. Total of all expenditures made during the calendar year: $ _____

3) a. Name of Department: _____

b. Total of all expenditures made January 1 through June 30: $ _____

c. Total of all expenditures made July 1 through December 31: $ _____
(When applicable)

d. Total of all expenditures made during the calendar year: $ _____

4) a. Name of Department: _____

b. Total of all expenditures made January 1 through June 30: $ _____

c. Total of all expenditures made July 1 through December 31: $ _____
(When applicable)

d. Total of all expenditures made during the calendar year: $ _____

Page _____ of _____

F. PROVIDE BELOW (a) the name of the executive branch department and individual agency as listed in the executive branch schedule; (b) the aggregate total of all expenditures attributable to the agency made by this lobbyist during the January 1-June 30 reporting period; (c) the aggregate total of all expenditures attributable to the agency made by this lobbyist during the July 1-December 31 reporting period when applicable; (d) the aggregate total of all expenditures made by this lobbyist in a calendar year attributable to the agency.

1) a. Name of Department and Individual Agency: _____

b. Total of all expenditures made January 1 through June 30: $ _____

c. Total of all expenditures made July 1 through December 31: $ _____
(When applicable)

d. Total of all expenditures made during the calendar year: $ _____

2) a. Name of Department and Individual Agency: _____

b. Total of all expenditures made January 1 through June 30: $ _____

c. Total of all expenditures made July 1 through December 31: $ _____
(When applicable)

d. Total of all expenditures made during the calendar year: $ _____

3) a. Name of Department and Individual Agency: _____

b. Total of all expenditures made January 1 through June 30: $ _____

c. Total of all expenditures made July 1 through December 31: $ _____
(When applicable)

d. Total of all expenditures made during the calendar year: $ _____

4) a. Name of Department and Individual Agency: _____

b. Total of all expenditures made January 1 through June 30: $ _____

c. Total of all expenditures made July 1 through December 31: $ _____
(When applicable)

d. Total of all expenditures made during the calendar year: $ _____

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

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 31:1249 (June 2005).

Chapter 23. Lobbying Local Government

§2301. General

A. The Lobbying Local Government Act provides that the board shall administer and enforce the provisions of R.S. 33:9661 et seq.

AUTHORITY NOTE: Promulgated in accordance with R.S. 33:9661 et seq.

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 37:1374 (May 2011).

§2303. Registration and Reporting Forms

A. The staff shall prepare and provide, upon request, the electronic forms for the registration and reporting of local government lobbyists. The forms used shall be provided electronically on the lobbyist online filing system at www.ethics.state.la.us.

B. No registration, report or designation filed by a lobbyist or other person shall be filed with the board unless the registration, report or designation is on the proper electronic form promulgated by the board in this Chapter.

AUTHORITY NOTE: Promulgated in accordance with R.S. 33:9661 et seq.

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 37:1374 (May 2011).

§2305. Registration and Reporting; Dating, Numbering and Filing

A. The staff shall establish a procedure for the dating, indexing, and filing of all lobbyist registrations, lobbyist disclosure reports, designations, and employer/principal disclosure reports received by the board through the lobbyist online filing system.

B. The method of determining the date of filing shall be as provided in R.S. 42:1157.1.

AUTHORITY NOTE: Promulgated in accordance with R.S. 33:9661 et seq.

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 37:1374 (May 2011).

§2307. Definitions

A. The following definitions supplement those contained in R.S. 33:9662 et seq.

Aggregate—the total amount of expenditures made on local government officials within the calendar year.

Employer—any person which employs an individual for the purpose of lobbying.

Principal—any person who retains the services of a lobbyist to represent its interests.

Reportable Expenditure—an expenditure which is required to be reported according to R.S. 33:9666.

Schedule A—refers to part of the promulgated electronic expenditure report form which is used to report the name local government official, his spouse or minor child, his local government agency and the amount spent on the specific individual when such information is required by R.S. 33:9666.

Schedule B—refers to part of the promulgated expenditure report form which is used to report the name of the group or groups of persons invited to a function, the date and location of the function and expenditures made in connection with the function when such information is required by R.S. 33:9666(E).

AUTHORITY NOTE: Promulgated in accordance with R.S. 33:9661 et seq.

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 37:1375 (May 2011).

§2309. Registration

A. Only an individual who has reached the age of majority may register as a lobbyist.

B. A lobbyist shall register as an local government lobbyist with the board through the use of the lobbying online filing system forms provided by the board at its website: www.ethics.state.la.us, within five days of making expenditures of $500 or more on local government officials in a calendar year for the purpose of lobbying.

C. The individual filing the local government lobbyist registration with the board shall forward to the board an affidavit expressing his or her intent to register as a local government lobbyist in accordance with the provisions of R.S. 33:9661 et seq. If the affidavit confirming the lobbyists willingness to register as a lobbyist is not received within 30 days of the lobbyists registration, the registration will be considered null and void.

D. Any individual who does not make expenditures of $500 or more on local government officials but who registers as a local government lobbyist with the board shall file expenditure reports as required by the local Government Lobbying Act and shall be liable for any late fees assessed for the late filing of a required report.

AUTHORITY NOTE: Promulgated in accordance with R.S. 33:9661 et seq.

HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 37:1375 (May 2011).

§2311. Reporting; in General

A. A local government lobbyist shall file the required expenditure reports with the board through the use of the lobbying online filing system forms provided by the board at its website: www.ethics.state.la.us.

B. The following are reportable expenditures under R.S. 33:9661 et seq.:

1. the amount spent to purchase food or drink on behalf of an individual local government official;

2. the amount spent on the value of a ticket or other fee or payment made in connection with a civic, non-profit,

educational, or political event as permitted by R.S. 42:1123(13).

C. A reportable expenditure should be reported by the lobbyist who would be required to account for the expenditure as an ordinary and necessary expense directly related to the active conduct of the lobbyist's, his employer's or the principal's trade or business.

D. Any expenditure made by a lobbyist on a local government official shall be considered a reportable expenditure, regardless of a pre-existing personal or familial relationship.

AUTHORITY NOTE: Promulgated in accordance with R.S. 33:9661 et seq.
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 37:1375 (May 2011).

§2313. Reporting; Additional Disclosure Requirements under R.S. 33:9661 et seq.

A. Any expenditure made in connection with a civic, non-profit, educational, or political event as permitted by R.S. 42:1123(13) shall be included in calculating the aggregate amount spent on an local government official during the reporting period.

B. Any expenditure subject to reporting under R.S. 33:9666(E) shall not be included in calculating the aggregate amount spent on an individual local governmental official for purposes of the reporting required by R.S. 33:9666(D).

AUTHORITY NOTE: Promulgated in accordance with R.S. 33:9661 et seq.
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 37:1375 (May 2011).

§2315. Reporting; Additional Disclosure Requirements under R.S. 33:9666(E)

A. If more than 25 local governmental officials are invited to a reception, social gathering or other function during a reporting period, then R.S. 33:9666(E) requires that the following information be disclosed on Schedule B of the expenditure report:

1. the name of the group or groups of persons invited to the function;

2. the date of which the function was held;

3. the location of the function, including the address of the function;

4. all expenditures made in connection with the function.

AUTHORITY NOTE: Promulgated in accordance with R.S. 33:9661 et seq.
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 37:1375 (May 2011).

§2317. Election by Employer or Principal to Report for Lobbyists

A. An employer or principal may elect, pursuant to R.S. 33:9666(F)(2)(a), to file a single expenditure report for his lobbyists.

B. If an employer or principal elects to file such reports, an employer/principal designation must indicate to the board, through the use of the designated section of the online lobbying filing system at www.ethics.state.la.us by January 31. The designation shall be effective for one year and requires the employer or principal to report of all expenditures made by all lobbyists representing its interests during that calendar year.

C. In the event an employer or principal files an expenditure report which does not include a statement of expenditures for one of its lobbyists, the report shall not be timely filed until a complete report disclosing the expenditures of all of its lobbyists is filed.

D. Late fees shall continue to accumulate until a complete report is filed.

AUTHORITY NOTE: Promulgated in accordance with R.S. 33:9661 et seq.
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 37:1375 (May 2011).

§2319. Expenditures Made Directly by the Principal or Employer

A. An expenditure made directly by an employer or principal in connection with a reception, social gathering, or other function shall be attributed to and reported by the lobbyist who attends the function. If more than one lobbyist attends the function, then the total amount spent by the employer or principal on the function shall be attributed in equal portions to the lobbyists who attend.

B. If a lobbyist is not present at the time an expenditure is made by an employer or principal, a lobbyist who represents the employer or principal's interests must report the expenditure.

C. An employer or principal who makes such an expenditure is required to provide the following information to the lobbyist no later than two business days after the close of each reporting period:

1. the total amount of the expenditure;

2. the amount of the expenditure that has been attributed to the lobbyist and which must be reported by the lobbyist;

3. the nature of the expenditure;

4. the names of the local government officials involved; and

5. the agencies of the local government officials involved.

D. Failure by the employer or principal to provide the necessary information to its lobbyist regarding such expenditure will cause the employer or principal to be required to register and report as a lobbyist and may subject the employer or principal to penalties.

AUTHORITY NOTE: Promulgated in accordance with R.S. 33:9661 et seq.
HISTORICAL NOTE: Promulgated by the Department of Civil Service, Board of Ethics, LR 37:1376 (May 2011).

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 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 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 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 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 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 conducted in a physical setting conducive to learning at a time and place free of interruptions.

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 a certified program.

B. Attendance forms will be provided by the certified trainer.

C. Attendance forms shall include an area for the attendee's name, date of birth, agency, signature, course number, and certified trainer name 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.

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 trainer 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 attendees 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 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.

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).