

Code of Conduct Training and Certification for Employees Involved in Procurement and Financial Transactions

Overview

Description:

DHS employees who are involved in any way in the acquisition of goods, or who are involved in accounting, auditing, financial reporting or tax filing duties have an absolute duty and responsibility to comply with all laws and ethical policies that are pertinent to their jobs; to take any and all actions necessary to avoid being in a position where the employee might have a conflict of interest; and to comply with:

- [The Code of Ethics for Employees in the Executive Branch](#), Minnesota Statutes, section 43A.38,
- [The Code of Conduct for Employees with Accounting, Auditing, Financial Reporting, or Tax Filing Duties](#) (Minnesota Management and Budget — PDF).

Reason for Policy:

DHS employees who are involved in the acquisition of goods, or who are involved in accounting, auditing, financial reporting or tax filing duties are expected to uphold the public trust and not allow it to be compromised by personal beliefs, motivations, biases or desires.

Applicability:

This policy and these procedures apply to all DHS employees who are involved in the acquisition of goods, or who are involved in accounting, auditing, financial reporting or tax filing duties in the Central Office and Direct Care and Treatment.

Failure to Comply:

Failure to comply with this policy and its procedures may result in disciplinary action or termination.

Procedure(s) that apply:

Upon initial employment, Agency Heads are required to read the [Code of Ethics for Employees in the Executive Branch, Minnesota Statutes, section 43.38](#) and sign a statement affirming that they have read and understand their obligations under this law. [See Due Diligence Certification for Agency Head Form (DOC)]

Upon initial employment, DHS employees who are involved in the acquisition of goods, or who are involved in accounting, auditing, financial reporting or tax filing duties are required to read the [Code of Ethics for Employees in the Executive Branch, Minnesota Statutes, section 43.38](#) and sign a statement affirming that they have read and understand their obligations under this law. [See Employee Code of Conduct Certification Form (DOC)]

Annually, Agency Heads and DHS employees who are involved in accounting, auditing, financial reporting or tax filing duties are required to read the [Code of Conduct for Employees with Accounting, Auditing, Financial Reporting, or Tax Filing Duties](#) (PDF) (Minnesota Management and Budget) and sign a statement affirming that they have read and understand their obligations under this policy. [See Employee Code of Conduct Certification Form (DOC)]

On an on-going basis, DHS employees who are involved in the acquisition of goods, or who are involved in accounting, auditing, financial reporting or tax filing duties are required to:

- Participate in training programs offered by the Department of Human Services related to ethical obligations, relevant professional accounting and auditing standards, taxation regulations, and internal controls, as applicable for their position.
- Report illegal activities and ethical violations, consistent with the [Reporting Illegal Activities Policy](#) and the [Reporting Ethical Violations Policy](#).
- Cooperate fully with internal, legislative and external auditors who are acting in their capacity to examine official procurement records, accounting records, financial reports, or tax filings.
- Consult with the DHS Ethics Officer, [Nikki Thompson](#) or 651-431-4248. if you have questions regarding this policy.

Questions:

Consult with the DHS Ethics Officer, [Nikki Thompson](#) at 651-431-4248. if you have questions regarding this policy.

Form(s) that apply:

N/A

Related Policies and References(s):

- [Code of Conduct for Employees](#) with Accounting, Auditing, Financial Reporting, or Tax Filing Duties (Minnesota Management and Budget (PDF))
- [Conflicts of Interest Related to Medicaid Expenditures Policy](#)
- [Everyday Ethics for DHS Employees Policy](#)
- [Internal Investigations](#)
- [Reporting of Illegal Activities Policy](#)
- [Reporting Ethical Violations Policy](#)
- [Whistleblower Policy](#)

Training:

N/A

Legal Authority:

The provisions prohibiting a state employee from influencing a purchasing decision where the employee would have any financial interest or have any personal benefit, as specified in [Minnesota Statutes, section 15.43](#).

The Code of Ethics for employees in the executive branch, [Minnesota Statutes, section 43A.38](#)

Standards:

N/A

Definition(s):

N/A

Policy Contact(s):

Name: [Nikki Thompson](#)

Phone: 651-431-4248

Policy History:

Version 1.0

12/01/2008 (Initial Release)

Version 2.0

10/2013 (Revision of Policy on Duties of Employees Involved in Contracting, Procurement and Financial Transactions)

This policy and its procedures remain in effect until rescinded or updated.