

N.J. STATE ETHICS COMMISSION

COMPLIANCE REVIEW CHECKLIST

1. ELO Appointed ___Yes ___ No Executive Order No. 2 (Murphy)
2. Agency ELO Attends SEC Quarterly Meetings ___Yes ___No Executive Order No. 2 (Murphy)
3. Employees Complete Commission Training ___Yes ___No N.J.S.A. 52:13D-21.1
SEC Ethics Training Plan
4. Uniform Ethics Code Distributed/Receipts Filed ___Yes ___No N.J.S.A. 52:13D-23
N.J.A.C. 19:61-2.2(a)(1)
5. Plain Language Ethics Guide Distributed/Receipts Filed ___Yes ___ No N.J.S.A. 52:13D-21(o)
N.J.A.C. 19:61-2.3(b)
6. Supplemental Code of Ethics ___ Yes ___No ___ N/A N.J.S.A. 52:13D-23(a)(1)
N.J.A.C. 19:61-2.2(b)
7. Supplemental Code Distributed/Receipts Filed ___Yes ___No ___N/A N.J.A.C. 19:61-2.2(b)(3)
8. Outside Activity Questionnaire Completed/Updated ___Yes ___ No UEC Section VI
9. Attendance At Events Forms ___Yes ___No N.J.A.C. 19:61-6.8
UEC Section IV
10. Attendance Forms - Speaker Exception sent to SEC ___Yes ___No N.J.A.C. 19:61-6.4(f)
11. Recusals in Writing and Filed with SEC ___Yes ___No N.J.A.C. 19:61-7.5(b)
UEC Section IX
12. Gift Procedure/Return and Donation Letters ___Yes ___ No N.J.A.C. 19:61-6.9
UEC Section III
13. Detecting Nepotism & Other Supervisory Conflicts ___Yes ___No N.J.S.A. 52:13D-21.2
N.J.A.C. 19:61-5.7(c)
UEC Section XIII
14. Casino Waiver Requests sent to SEC ___ Yes ___ No N.J.S.A. 52:13D-17.2(b)
UEC Section XIV
15. Personal & Business Relationships Disclosure Forms sent to SEC ___Yes ___No N.J.S.A. 52:34-10.9
(Treasury Statute)
16. Evaluations of Jointly Sponsored Events Filed with SEC ___Yes ___No ___N/A SEC Guidelines
17. Notification of New FDS Filers sent to SEC/Maintain FDS Filer List ___Yes ___No N.J.S.A. 52:13D-21(n)
Executive Order No. 24 (Christie)
18. Ethics Briefing Completed Between Full Training Years ___Yes ___No N.J.S.A. 52:13D-21.1

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| 19. Policy/Procedure for Reporting Ethics Complaints to SEC ___ Yes ___ No | UEC Section XV |
| 20. Proposed Discipline for Ethics Code Violations sent to SEC ___ Yes ___ No | N.J.S.A. 52:13D-23(d) |
| 21. Agency Ethics Determinations Copied to SEC ___ Yes ___ No | N.J.A.C. 19:61.2.1(b) |
| 22. Post-Employment Restrictions Letter to Departing Employees ___ Yes ___ No | N.J.S.A. 52:13D-17
UEC Section VIII |
| 23. List of College/University Trustees for COI Form sent to SEC ___ Yes ___ No | Executive Order No. 14
(Corzine) |
| 24. Quarterly College/University Vendor List Reviews to SEC ___ Yes ___ No | Executive Order No. 14
(Corzine) |
| 25. College/University Trustee Exception Requests to SEC ___ Yes ___ No | Executive Order 14
(Corzine) |
| 26. Annual College/University Disclosure Forms to SEC ___ Yes ___ No
(Scholarly Capacity) | N.J.A.C. 19:61-6.10(a) |

Please also provide a copy of your agency's organizational chart and any other agency information you feel is pertinent to the ethics compliance audit process.