

N.J. STATE ETHICS COMMISSION

COMPLIANCE REVIEW- LEGAL REQUIREMENTS CHECKLIST

AGENCY

Requirement

Legal Authority

- | | |
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| 1. ELO Appointed ___Yes ___No | 1. Executive Order No. 1 |
| 2. Agency Employees Received Commission Training ___Yes ___No | 2. N.J.S.A. 52:13D-21.1 |
| 3. Agency Supplemental Code of Ethics In Compliance ___Yes ___No ___N/A | 3. NJSA 52:13D-23(a)(1) |
| 4. Agency Supplemental. Code Distributed To All Employees ___Yes ___No | 4. NJAC 19:61-2.2(b)(3) |
| 5. Agency Code Receipts In Personnel Files ___Yes ___No | 5. NJAC 19:61-2.2 (b)(3) |
| 6. Plain Language Ethics Guide Distributed ___Yes ___No | 6. NJSA 52:13D-21(o)
NJAC 19:61-2.3(b) |
| 7. Plain Language Ethics Guide Receipts Obtained ___Yes ___No | 7. NJSA 52:13D-21(o)
NJAC 19:61-2.3(b) |
| 8. Uniform Ethics Code Distributed To All Employees ___Yes ___No | 8. NJSA 52:13D-23 |
| 9. Uniform Ethics Code Receipts- In Employee Personnel Files ___Yes ___No | 9. NJAC 19:61-2.2(a)(1) |
| 10. Outside Employment Form Distributed ___Yes ___No | 10. Uniform Ethics Code
Section VI. |
| 11. Outside Employment Form Content Complies With Law ___Yes ___No | 11. Uniform Ethics Code
Section VI. |
| 12. Agency Uses Commission's Attendance At Events Form ___Yes ___No | 12. NJAC 19:61-6.8(a) |
| 13. Agency Files With SEC Attendance Forms - Speaker Exception ___Yes ___No | 13. NJAC 19:61-6.4(f) |
| 14. Agency ELO Maintains Records Of Gifts To All Employees ___Yes ___No | 14. NJAC 19:61-6.9(e)
NJAC 19:61-6.10(f) |
| 15. Recusal Advice In Writing and Filed With SEC ___Yes ___No | 15. NJAC 19:61-2.1(b) |
| 16. Records of Agency Joint Ventures ___Yes ___No | 16. NJAC 19:61-2.1(b) |
| 17. Agency FDS or COI Form List & New Officials Names To SEC ___Yes ___No | 17. NJSA 52:13D-21(n)
Executive Orders 1 & 14 |
| 18. Proposed Discipline For Ethics Code Violations Sent To SEC ___Yes ___No | 18 NJSA 52:13D-23(d) |
| 19. Agency Ethics Opinions Copied SEC ___Yes ___No | 19. NJAC 19:61.2.1(b) |
| 20. Agency ELO Attendance At Quarterly Meetings ___Yes ___No | 20. Executive Order No. 1 |
| 21. Personal / Business Relationships Disclosure Form Distributed ___Yes ___No | 21 NJSA 52:34-10-11 |
| 22. Procedure For Detecting Nepotism & Other Supervisory Conflicts ___Yes ___No | 22. NJAC 19:61-5.7(c) |
| 23. Ethics Briefing ___Yes ___No | 23. NJSA 52:13D-21.1 |
| 24. Annual College/University Disclosure Forms Filed With SEC ___Yes ___No | 24. NJAC 19: 61 -6. 10 |
| 25. Evaluations of Jointly Sponsored Events Filed With SEC ___Yes ___No | 25. SEC Guidelines |

Compliance Officer _____ Date: _____
EC Form 10/07

N.J.S.A 52:13D21(e)(3)