



State of New Jersey
STATE ETHICS COMMISSION

PO BOX 082
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www.nj.gov/ethics

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EXECUTIVE DIRECTOR

Agency Compliance Review
Questionnaire

Agency:
Ethics Liaison Officer (ELO):
Date of Review Meeting:

I. Background Information

A. Agency Information

1. Approximately how many employees work for your agency?
2. Please identify all agency work locations (satellite offices, facilities, etc.).
3. *Please attach agency organizational chart.*

B. ELO Information

1. How long have you served as your agency's ELO?
2. Have you attended an ELO orientation session?
3. Do you have a deputy/assistant/alternate ELO? If so, please identify.
4. Are any of your ELO duties delegated to other agency officials (distribution and review of forms, conducting ethics-related investigations, etc.)? If so, please identify those individuals and their responsibilities.
5. Do you serve as ELO for any boards, commissions, councils, etc. within your agency? If so, please identify those entities.

II. ELO Quarterly Meetings

1. Do you or a designee attend ELO quarterly meetings?
2. Please list any topics you would like to see covered at a future ELO quarterly meeting.

III. Distribution of Ethics Documents

A. Uniform Ethics Code (UEC) and Plain Language Guide (PLG)

1. Describe how your agency distributes the UEC and PLG to new State officials.
2. *Please attach three (3) sample acknowledgements of receipt of the UEC and PLG from employees.*
3. *Please attach three (3) sample acknowledgements of receipt of the UEC and PLG from special State officers.*

B. Supplemental Code of Ethics

1. Does your agency have a supplemental ethics code? If not, skip to Section IV.
2. Describe how your agency distributes its supplemental code to new State officials.
3. *Please attach three (3) sample supplemental code receipts.*

IV. Ethics Training

A. Training Schedule

1. Please identify all ethics training methods used by your agency (online on the SEC website, through the Learning Management System, in-person, ethics brochure, etc.).
2. How do you ensure that new State officials at your agency receive required ethics training?
3. Describe how trainings are disseminated to employees/officers and special State employees/officers each year. Please note if all officials are on the same

schedule (full training year vs. briefing year) or if each individual follows their own schedule.

B. Training Receipts

1. *Please attach three (3) sample receipts from full employee ethics training.*
2. *Please attach three (3) sample receipts from ethics briefing.*
3. *Please attach three (3) sample receipts from special State officer ethics training.*
4. Describe how your agency tracks the completion of ethics trainings.
5. *Please attach evidence/documentation of agency's tracking of ethics training.*

V. **Outside Activities**

A. Outside Activity Questionnaire (OAQ)

1. How often does your agency distribute the OAQ to employees?
2. Please describe your agency's procedure for ensuring that all employees complete and submit the OAQ.
3. *Please attach three (3) sample approved OAQs.*
4. Does your agency remind employees to review and update their OAQs on an annual basis?
5. *Please attach annual reminder to review and update OAQ.*

B. Outside Activity Questionnaire (OEQ)

1. How often does your agency distribute the OEQ to special State officers and/or special State employees?
2. *Please attach three (3) sample approved OEQs.*

C. Political Activity

1. Are employees sent a reminder prior to election season regarding the restrictions on political activity in the workplace?
2. *Please attach political activity memo.*

D. Casino/Cannabis Waivers

1. Has an employee ever disclosed secondary employment or an immediate family member's employment with a casino or cannabis entity?
2. If so, have waiver requests been submitted to the SEC?
3. *Please attach three (3) sample casino/cannabis waiver request letters.*

VI. Attendance at Events

A. Request for Approval for Attendance at Events Forms

1. Does your agency use the SEC's Request for Approval for Attendance at Events form or a modified version approved by the SEC?
2. *Please attach three (3) sample Attendance at Events forms.*
3. Are Attendance at Events forms involving a speaker's exception sent to the SEC for review?
4. *Please attach three (3) sample Attendance at Events forms with speaker's exception.*

VII. Gifts

A. Disposition of Gifts

1. Please describe your agency's procedure for the disposition of gifts received by agency officials.
2. *Please attach three (3) sample gift return/disposition letters.*

B. Gift Reminders

1. Does your agency send out a reminder each year prior to the holiday season regarding the State's zero-tolerance gift policy?
2. *Please attach holiday gift memo.*

VIII. Recusals

A. Recusal Statements

1. Do recusal statements conform to the requirements of SEC regulations and best practices?
2. Are written recusals filed with the SEC?
3. *Please attach three (3) sample recusal statements.*

B. Personal and Business Relationships Disclosure Forms

1. Do officials involved in the procurement process complete the Personal and Business Relationships Disclosure (PBRD) form?
2. *Please attach a current list of PBRD filers.*
3. Are completed PBRD forms filed with the SEC?
4. *Please attach three (3) sample PBRD forms.*

IX. Joint Ventures

A. Agency Jointly Sponsored Events/Activities Forms

1. Does your agency enter into joint ventures (co-sponsored conferences, ongoing financial partnerships, etc.) with private entities?
2. Are Agency Jointly Sponsored Events/Activities (Joint Venture) Forms completed and sent to the SEC for review?
3. *Please attach three (3) sample Joint Venture Forms.*

X. Financial Disclosure

A. Financial Disclosure Statements (FDS)

1. *Please attach a current list of FDS filers.*
2. Does the ELO notify SEC staff of new FDS filers as they are appointed?
3. Does the ELO send reminders to FDS filers regarding the May 15th deadline as the deadline approaches?

4. *Please attach evidence of reminders to FDS filers.*

XI. Nepotism and Supervisory Conflicts

A. Supervisory Conflict of Interest Certification

1. Does your agency distribute the Supervisory Conflict of Interest Certification or similar form to supervisors? Describe the process for distribution of the form.
2. *Please attach three (3) sample Supervisory COI Certifications.*

B. Nepotism Policies

1. Does your agency have any additional policies that address nepotism or supervisory conflicts of interest?
2. *Please attach agency nepotism policies.*

XII. Ethics Code Enforcement

A. Ethics Investigations

1. Identify any mechanisms that are in place for agency officials to report potential ethics violations (hotline, complaint form, etc.).
2. Is the SEC notified of complaints alleging ethics code violations?
3. Who at your agency investigates ethics code violations?

B. Ethics Discipline

1. Do you provide input and/or review recommended disciplinary actions involving ethics code violations?
2. Do you refer recommended disciplinary actions involving ethics code violations to the SEC for review?
3. *Please attach three (3) sample referrals to SEC concerning ethics-related discipline.*

XIII. Post-Employment Restrictions

A. Post-Employment Letter

1. Does your agency provide employees leaving State service with information on post-employment restrictions?
2. Describe the procedure for the dissemination of post-employment information to outgoing employees.
3. Does that information include the additional restrictions for FDS filers and agency heads, deputy agency heads, and assistant agency heads when appropriate?
4. *Please attach three (3) sample post-employment letters.*



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Agency Compliance Review
Document List

- ___ Agency organizational chart
- ___ Three (3) acknowledgements of receipt of UEC and PLG from employees
- ___ Three (3) acknowledgements of receipt of UEC and PLG from special State officers
- ___ Three (3) supplemental code receipts, if applicable
- ___ Three (3) receipts from full employee ethics training
- ___ Three (3) receipts from ethics briefing
- ___ Three (3) receipts from special State officer ethics training
- ___ Evidence/documentation of agency's tracking of ethics training
- ___ Three (3) approved OAQs
- ___ Annual reminder to review and update OAQ
- ___ Three (3) approved OEQs
- ___ Political activity memo
- ___ Three (3) casino/cannabis waiver request letters
- ___ Three (3) Attendance at Events forms
- ___ Three (3) Attendance at Events forms with speaker's exception
- ___ Three (3) gift return/disposition letters
- ___ Holiday gift memo

Agency Compliance Review Document List
2023

- ___ Three (3) recusal statements
- ___ Current list of Personal and Business Relationships Disclosure filers
- ___ Three (3) PBRD forms
- ___ Three (3) Joint Venture Forms
- ___ Current list of Financial Disclosure Statement filers
- ___ Evidence of reminders to Financial Disclosure Statement filers
- ___ Three (3) Supervisory COI Certifications
- ___ Agency nepotism policies, if applicable
- ___ Three (3) referrals to SEC concerning ethics-related discipline
- ___ Three (3) post-employment letters