

Questionnaire

	<u>YES</u>	<u>NO</u>	<u>N/A</u>	<u>INIT</u>	<u>W/P REF</u>
<u>Designate a chief ethics officer</u>					
1.	<p>The revised Executive Office of the Governor's Code of Ethics (Code), effective as of January 4, 2011 directed each agency to designate a chief ethics officer for the agency.</p> <p>Has the agency designated an individual to serve as the agency's chief ethics officer?</p>				
	_____	_____	_____	_____	_____
2.	<p>Does the agency's chief ethics officer's Position Description appropriately address responsibilities and percentage of time of his/her role as chief ethics officer?</p>				
	_____	_____	_____	_____	_____
3.	<p>Is the agency's chief ethics officer position assigned to a high-enough level within the agency to appropriately execute this role and its responsibilities?</p>				
	_____	_____	_____	_____	_____
4.	<p>Does the agency's chief ethics officer hold regular meetings to discuss ethics? (Determine the frequency of such meetings, who attends, etc. Review meeting minutes.)</p>				
	_____	_____	_____	_____	_____
5.	<p>The Code directed each agency to review the Code and evaluate the agency's existing code of ethics, with a view towards using the Code as the base standard for the agency to the extent practicable.</p> <p>Has the agency reviewed and evaluated the agency's current ethics policy in light of the revised Code?</p>				
	_____	_____	_____	_____	_____
6.	<p>If the agency is decentralized (with offices located throughout the State), has the agency delegated or assigned responsibility of "deputy" ethics officers at these locations?</p>				
	_____	_____	_____	_____	_____

YES NO N/A INIT W/P
REF

7. The Code directed each agency to review and evaluate the Code, “in light of the current policies adopted by the agency, with a view towards using this Code as the base standard, ...to the extent practicable, and adjusted for those unique program requirements and variables,” of the agency.

Has the agency implemented any agency-specific adjustments to the revised Code within the specified timeframe of forty-five (45) days of Executive Order Number 11-03, dated January 4, 2011, which would be February 18, 2011?

Training

8. The Code directed each agency’s chief ethics officer to make reasonable efforts to ensure that the employees (employees “refers only to all employees in the Office of the Governor and to all secretaries, deputy secretaries and chiefs of staff of the executive agencies under the purview of the Governor”) responsible for adhering to the Code become familiar with relevant ethics, public records and open meeting requirements.

Has the chief ethics officer made reasonable efforts to ensure that the agency’s employees (secretary, deputy secretaries, and chief of staff) become familiar with relevant ethics, public records, and open meeting requirements?

- 9a. The Code directed each agency secretary to attend training on the subjects of ethics, public records, open meetings, records retention, equal opportunity, and proper personnel procedures.

Is there documentation to support that the agency secretary attended training on the subject of ethics?

[Agency]
 Office of Inspector General
Ethics

	<u>YES</u>	<u>NO</u>	<u>N/A</u>	<u>INIT</u>	<u>W/P REF</u>
9b. Is there documentation to support that the agency secretary attended training on the subject of public records (Chapter 119, <i>Florida Statutes</i>)?	_____	_____	_____	_____	_____
9c. Is there documentation to support that the agency secretary attended training on the subject of open meetings (Section 24 of the Florida Constitution)?	_____	_____	_____	_____	_____
9d. Is there documentation to support that the agency secretary attended training on the subject of records-retention?	_____	_____	_____	_____	_____
9e. Is there documentation to support that the agency secretary attended training on the subject of equal opportunity?	_____	_____	_____	_____	_____
9f. Is there documentation to support that the agency secretary attended training on the subject of proper personnel procedures?	_____	_____	_____	_____	_____
10. The Code directed each agency secretary to arrange for similar training of the agency's employees (on the subjects of ethics, public records, open meetings, records retention, equal opportunity, and proper personnel procedures) on an annual basis. Does the agency provide training on an annual basis?	_____	_____	_____	_____	_____
11. If yes, is the training frequency addressed in agency written guidance?	_____	_____	_____	_____	_____
<u>Effectiveness of training</u>					
12. Is the agency's training method for employees a written document course, computer-based training course (CBT), an audio/visual (including annual webcast) presentation, classroom, or other method? Please identify the method.	_____	_____	_____	_____	_____

	<u>YES</u>	<u>NO</u>	<u>N/A</u>	<u>INIT</u>	<u>W/P REF</u>
13. Agencies may have multiple work locations throughout the state. Has the agency's ethics program been implemented and applied the same or differently throughout the agency?	_____	_____	_____	_____	_____
14. Does the chief ethics officer (or other appropriate office) maintain ethics contact information?	_____	_____	_____	_____	_____
15. Does the chief ethics officer (or other appropriate office) maintain training attendance logs?	_____	_____	_____	_____	_____
<u>Implementation</u>					
16. Are new employees required to sign an agency Pledge Form related to ethics, to attest the employee received a copy of, understands, and agrees to comply with the agency's ethics policy?	_____	_____	_____	_____	_____
17a. Does the agency's ethics policy and procedures include oversight of and compliance for ethical behavior (processes to allow investigation of and provide enforcement over unethical behavior)?	_____	_____	_____	_____	_____
17b. Does the agency's ethics policy and procedures address training?	_____	_____	_____	_____	_____
17c. Does the agency's ethics policy and procedures include the process for reporting violations (ways for employees to anonymously report concerns about fraud, abuse, or questionable practices)?	_____	_____	_____	_____	_____
17d. Does the agency's ethics policy mandate the reporting of such violations?	_____	_____	_____	_____	_____
17e. Does the agency's ethics policy and procedures include procedures for employees' annual review of the policy?	_____	_____	_____	_____	_____

YES NO N/A INIT W/P
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Potential Conflicts of Interest

18. The Code encourages each agency's secretary to review his/her own personal assets/investments to assure that any potential for conflict and/or the appearance of impropriety is avoided.

Has the agency secretary taken appropriate steps in regards to his/her own personal assets/investments, to avoid the potential for conflict and/or the appearance of impropriety?

YES NO N/A INIT W/P
REF

19. The Code provides that no employee (employee refers only to secretaries, deputy secretaries and chiefs of staff of the executive agencies under the purview of the Governor) shall serve as an officer or director of any non-governmental corporation, company, partnership, or other entity, regardless of its private or public ownership or its for-profit or not-for-profit status, except for:
- Subject to approval from the Governor's general counsel, an employee may serve as an officer or director of a non-governmental, not-for-profit corporation, company partnership, or other entity that does not seek funding from the State;
 - Subject to approval from the Governor's general counsel, an employee may serve as an officer or director of a non-governmental, not-for-profit corporation, company, partnership, or other entity that seeks funding from the State if (a) serving in that capacity is directly related to the employee's employment and (b) the employee has been requested to do so by the Office of the Governor (or, in the case of employees at the executive agencies, by his or her agency) or is required to serve in that capacity by statute, rule, executive order, or other applicable law; and,
 - Subject to approval from the Governor's general counsel, an employee may serve as an officer or director of a non-governmental, for-profit corporation, company, partnership, or other entity that does not seek or receive funding from or do business with the State and that is closely-held or family-owned or operated. For example an employee who, along with other family members, is an officer or director of an entity that owns rental property could seek approval under this exception.
- If an employee meets any of the exceptions, is there documentation of approval from the Governor's general counsel?

YES NO N/A INIT W/P
REF

20. The Code provides that no employee (employee refers only to secretaries, deputy secretaries and chiefs of staff of the executive agencies under the purview of the Governor) may have any on-going dual employment or dual compensation without prior approval from the chief ethics officer.

If an employee maintains any on-going dual employment or dual compensation, has appropriate approval been granted?
