Organization

Document the Department's organizational structure, including:
- Agency Name
- Agency Secretary
- Agency Deputy Secretaries
- Agency Chief of Staff
- Agency Chief Ethics Officer
- Number of Full Time Equivalent, OPS, Consultant and Contracted positions
- Number of management/supervisor positions (traditional SMS and SES positions)

Executive Management

Survey agency Secretary, Deputy Secretaries, Chief of Staff to determine:

Have they reviewed the Governor's January 4, 2011 Code of Ethics? (p. 3)
Have they conducted a comparison with their agency's code of ethics to determine adjustments?
- What specific adjustments, if any, were made based on the Governor's Code of Ethics?

If any of these individuals serve on the boards or commissions of governmental entities. (p. 15)
- Was approval obtained from the Governor's general counsel?

If any of these individuals 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.
- If yes, does the individual meet any of the exceptions listed on page 15 of the Code of Ethics.

If any of these individuals have any on-going dual employment or dual compensation. (p.15)

If any of these individuals have an immediate relative that is a lobbyist. (see code for definitions)
- If yes, does the individual report to the Chief Ethics Officer the names of the lobbyist's clients on a quarterly basis? (p. 16)

If the individual has applied for an exemption to this code?
- If yes, what was the exemption and was it approved?

Chief Ethics Officer

Has the agency named a Chief Ethics Officer? (If Yes, who?)(p. 4)
- Describe the management level this person is positioned in, i.e. executive management.
- Describe what other roles and responsibilities this person has.

Interview/survey Chief Ethics Officer to determine if he/she is familiar with relevant ethics, public records and open meeting requirements. (p. 4)

Review Chief Ethics Officer Position Description to determine if responsibilities are appropriately outlined.

What percentage of the person's time is dedicated on the PD for this role?

Determine if Chief Ethics Officer holds regular meetings to discuss ethics.

What is the frequency of these meetings?

Who attends?

Review meeting minutes.

Is the agency primarily centralized or decentralized

If decentralized, are there "deputy" ethics officers in the decentralized regions?

Ethics Awareness/Outreach

Determine the extent of the agency's ethics awareness program.

Does the agency require employees to annually review or recertify ethics training? (p. 4)

Does the agency have written Ethics policies and procedures?

When were these last updated?

Are the policies and procedures part of the employees required reading?

Does the agency require employees to certify they have reviewed these materials?

Describe if the agency has developed, implemented, or disseminated additional ethics awareness, such as:

Web Page, Wiki Page, Frequently Asked Questions

Computer Based Training

Newsletters/Articles

Classroom Training

Role Based Scenarios

If yes, provide samples.

Has the agency conducted an Ethics survey in the past four years?

If yes, what were the results?

Ethics Issues and Inquiries

Determine if the agency has established a means for ethics issues and inquiries to be reported or asked.

Does the agency clearly inform employees how to contact the Ethics Officer?

Does the agency have a "hotline" for reporting?

Is this "hotline" clearly made available?

Does the agency maintain statistics concerning the ethics questions or issues?

For Example: Number of requests/inquiries; Number of sustained cases.

<u>Employee Awareness</u>
Survey all staff to determine their basic knowledge of the ethics policy and procedures.
Have they read the policy and procedures since being employed with the agency?
Have they received ethics training in the past 12 months?
If yes, how and by whom?
Do they know who to contact with ethics questions?
How could the ethics program be improved?