



Code of Conduct Compliance Questionnaire for Employees of Subrecipients/Subcontractors

Amended: 8/23/2012

CODE OF CONDUCT COMPLIANCE QUESTIONNAIRE

All employees of subrecipients/subcontractors to The Coastal Regional Commission (“the Center” or “CRC”) are being asked to complete this Compliance Questionnaire. The Center is committed to providing a workplace where employees and contractors can and do act responsibly and ethically. The CRC’s Code of Conduct sets out specific standards of conduct, which should govern our behavior towards our fellow employees, suppliers, subrecipients, contractors, subcontractors, and member governments. Please answer each of the following questions and, if necessary, provide an explanation. *For any “yes” response, please explain in the extra space provided on the last page.*

Conflict of Interest

1. During fiscal ____, did you, or are you aware of anyone who received from any person or center doing business with the Center any loan, gift, trip, gratuity, or other payment, which did or could cause prejudice toward or obligation to the giver, or could be perceived by others as creating an obligation to the giver? *(Note: Each item, or the total of items from a single vendor with a value of more than, \$50.00 must be reported, except that you do not need to report loans made by financial institutions on normal and customary terms).*
 Yes **No**
2. In fiscal ____, did you, or are you aware of anyone who participated in or influenced any transaction between the Center and another entity, or between your employer and other entity, in which they or any member of their family had a direct or indirect financial interest?
 Yes **No**
3. In fiscal ____, did you, or are you aware of anyone who had a material financial interest in or held a position of influence with any business which furnishes goods or services to the Center or to your employer? *(Note: The term "material financial interest" means someone who by virtue of their stock ownership or monetary interest in a business is able to direct or to influence business decisions, or a commissioned sales representative; "position of influence" means someone holding an influential position such as a sole proprietor, partner, member of a board of directors, an executive, or a manager.)*
 Yes **No**
4. For fiscal ____, did you, or are you aware of anyone who used resources (including funds, equipment, supplies, or personnel) for purposes other than business or business-sponsored activities?
 Yes **No**
5. During fiscal ____, did you, or are you aware of anyone who received gifts or entertainment from individuals or organizations having dealings with the Center or with your employer, including but not necessarily limited to loans, any form of cash gratuities, private or personal discounts not sanctioned by the Center, or remuneration or service related to illegal activities?
 Yes **No**
6. During fiscal ____, did you, or are you aware of anyone who accepted any consideration or

special favors from suppliers or potential suppliers which in fact or appearance could be deemed a bribe, kickback or reward given to influence your business judgment?

Yes **No**

7. Were you involved, or are you aware of any employee who was involved in a conflict of interest situation during fiscal year ____?

Yes **No**

8. I have listed names, addresses and the nature of the relationships of all persons or entities doing business with the Center or with my employer from whom I or any member of my immediate family has received, directly or indirectly, cash or a gift of more than nominal value (\$50.00) during the fiscal year ended June 30, _____. *(If there are no persons or entities to be listed, so indicate by writing "NONE" in the first space provided below.)*

Name of Person /Entity	Nature of Relationship/Outside Activity

Political

9. In fiscal ____, did you, or are you aware of anyone who received any payments from the Center or from your employer for the purpose of making a contribution to any political party, candidate, or election committee?

Yes **No**

Financial Integrity

10. Are you aware of any entries made in the books and records in fiscal ____ that you believe are false or intentionally misleading?

Yes **No**

11. Are you aware of any assets, liabilities, or transactions that you believe were improperly omitted from the books in fiscal ____?

Yes **No**

12. In fiscal ____, are you aware of anyone seeking to influence any governmental official (including foreign officials) or governmental employee, or individual doing business with the Center or with your employer, by offering money, goods, or services in return for some special consideration?

Yes **No**

13. Are you aware of any incident involving the Center or your employer that you feel constituted noncompliance with laws, regulations, policies, guidelines, procedures, or ethical principles, other than those matters referred to in other questions or incidents, which have already been reported? *(Note: If you prefer to report an incident or violation anonymously, please answer this question "NO" and contact Mr. Dan Coty, the Chairman of the CRC Audit Committee, at 912-264-1792.)*

Yes **No**

14. Please provide any explanations for "yes" responses.

In the space below, please provide any suggestions you may have for improving the Code of Conduct and Compliance Program.

Printed Name

Signature

Date