

The California State University  
Office of the Chancellor  
401 Golden Shore  
Long Beach, CA 90802-4201  
(562) 951-4411

Date: February 13, 2004

Code: HR 2004-06

To: CSU Presidents

From: Jackie R. McClain  
Vice Chancellor  
Human Resources



Subject: **2004 Conflict of Interest Annual Filing**

The Political Reform Act, Government Code Sections 81000, et seq., requires California State University (CSU), as an agency, to adopt and promulgate conflict of interest (COI) codes. The CSU's COI code requires employees in designated positions to file a Statement of Economic Interests (Form 700) on an annual basis. This memorandum serves as a reminder that employees in designated positions on your campus must file Statements by April 1, 2004.

**I. Code Update**

Effective February 4, 2004, HR 2004-05 announced that the Fair Political Practices Commission (FPPC) approved the CSU's COI Code amendment adopted by the Trustees at the July 2003 Board meeting.

**II. Annual Filing Reminder**

Conflict of Interest filing is a campus responsibility. Your campus Conflict of Interest Filing Officer should distribute Form 700 ("Statement of Economic Interests") to employees in designated positions as soon as possible. These employees must submit completed forms to the campus Filing Officer by April 1, 2004. Please note: employees in newly designated positions who completed an initial filing statement pursuant to HR 2004-05 are not required to complete an annual form until next year. *As a reminder, the Chancellor's Office does not need to be notified when the filing process is completed.*

The following information is included with your campus' Conflict of Interest Filing Officer's copy of this memo to assist in the annual filing process:

1. **CSU Disclosure Category Listing (Attachment A)** - Identifies the seventeen (17) disclosure categories and highlights each category's potentially applicable Form 700 schedule(s) in bold print.

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**Distribution:**

With Attachments: Conflict of Interest Filing Officers

Without Attachments:

Vice Presidents, Academic Affairs

Associate Vice Presidents/Deans, Faculty Affairs

Vice Presidents, Administration

Vice Presidents, Information Systems

Vice Presidents/Deans of Students

Business Managers

Human Resources Directors

Payroll Managers

General Counsel

Director, SOSS

2. **Campus Designated Position List (Attachment B)** – Updated with changes submitted during the 2003 filing process. This list incorporates the last two campus updates.
3. **Handbook for State Agency Filing Officials and Filing Officers - Statement of Economic Interests** (revised November 1997).
4. **2003-2004 Form 700 Statement of Economic Interests** – Form 700 (schedules and instructions). Filing Officers are required to review completed statements of economic interests ensuring that a completed individual disclosure statement is received, and that the date is indicated in the official date stamp box located in the upper right hand corner of Form 700. (Please refer to the Handbook for further reviewing guidelines.) Copies of Form 700 can be reproduced locally for appropriate employees at your campus. Form 700 also can be accessed electronically via the Internet at: <http://www.fppc.ca.gov>.
5. **Principal Investigators Statement of Economic Interests Form 700-U and Instructions for Statement of Economic Interests for Principle Investigators** – Form 700-U should be made available to employees “with principal responsibility for a research project funded or supported, in whole or in part, by the contract or grant (or other funds earmarked by the donor for a specific research project, or for a specific researcher) from a non-governmental entity.”
6. **Limitations and Restrictions on Gifts, Honoraria, Travel and Loans Fact Sheet** – This Fact Sheet summarizes the major provisions concerning gifts, honoraria, travel and loans. **Please note that the aggregate limitation on gifts is \$340 in a calendar year.**

### **General Information**

In addition to the annual filing, campuses are to review carefully their designated position list to determine if changes are required. Please note that a new automated process has been developed for campuses to update their designated position lists. A separate correspondence will be issued shortly providing instructions on the new process.

The CSU Ethics Training Program is still under development and we anticipate it will be implemented later this spring. Program details will be provided at that time.

Systemwide Human Resources will continue to operate in an advisory capacity and serve as liaison between the Fair Political Practices Commission and the campuses. Questions should be directed to Pamela Chapin at (562) 951-4414. This document is also available on the Human Resources Administration's Web page at: <http://www.calstate.edu/HRAdm/memos.shtml>.

Attachments – COI Officers only