

The California State University
Office of the Chancellor
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Date: February 3, 2000

Code: HR 2000-06

To: CSU Presidents

From: Jackie R. McClain, Vice Chancellor
Human Resources



Subject: 2000 CONFLICT OF INTEREST FILING PROCESS

This memorandum serves as a reminder that Conflict of Interest Statements must be filed by all designated employees on your campus by April 3, 2000. Conflict of Interest filing is a campus-delegated responsibility. The Chancellor's Office does not need to be notified when the filing process is completed. However, you will need to provide your final revised designated position list to this office. The following information will be included with your campus' Conflict of Interest Filing Officer's copy of this memo to assist in the annual filing process:

- "Statement of Economic Interests Handbook for State Agency Filing Officers and Filing Officials" (revised November 1997).
- "Limitations and Other Restrictions on Gifts, Honoraria, Travel and Loans Fact Sheet" (revised January 1999) which summarizes the major provisions of the Act concerning gifts, honoraria, travel and loans.
- 1999-2000 Form 700 (schedules and instructions) and Fact Sheet. Filing Officers are requested to ensure that the date a completed individual disclosure statement is received is indicated in the official date stamp box located in the upper right hand corner of Form 700. Copies of the 1999-2000 Statement of Economic Interests for Designated Employees Form 700 can be locally reproduced for designated employees at your campus. Campuses that wish to access Form 700 electronically can do so via the Internet:

<http://www.fppc.ca.gov>

(Over)

Distribution:

With Attachment: Conflict of Interest Filing Officers

All Without Attachment:

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
Chancellor's Office Staff

HR 2000-06
Conflict of Interest Filing Process
February 3, 2000

- “Principal Investigator’s Statement of Economic Interests” Form 730-U. This form should be made available to employees “with principal responsibility for a research project funded or supported, in whole or in part, by a 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.”
- CSU Disclosure Category Listing. Attachment A identifies the seventeen (17) CSU disclosure categories and highlights each category’s potentially applicable Form 700 schedule(s) in bold print.
- 2000 Designated Position List (Attachments B and B-1):
 - √ Campuses are responsible for reviewing their Designated Position List to ensure that appropriate campus positions are disclosed in accordance with CSU’s disclosure categories.
 - √ Campuses are requested to carefully review their designated position list to determine whether or not existing positions on campus require incorporation. Please verify that your list is complete in scope and accurately reflects current job titles and disclosure categories for warranted campus positions.
 - √ Attachment B-1 is provided as a sample format for notification to this office of designated position list changes.

Note that recent legislation requires state agencies to conduct ethics orientation for certain officers and employees pursuant to Government Code 11146. Although this legislation is not applicable to the CSU, the underlying ethics laws do apply to employees whose positions are included in the CSU Conflict of Interest Code.

The Attorney General’s Office and the Fair Political Practices Commission offers two resources to gain familiarity with these laws. We consider them to be a helpful summary of ethics law for not only campus Conflict of Interest Filing Officers, but also employees whose positions are included in the CSU Conflict of Interest Code. You may wish as a matter of campus policy to require that this orientation be provided to all employees in a designated position at your campus:

Internet: This ethics course can be accessed in an interactive internet format via:
www.caag.state.ca.us//ethi/ethifram.htm

Video: This 114 minute video taped orientation will be provided to your campus Conflict of Interest Filing Officer.

Human Resources will continue to operate in an advisory capacity and serve as the liaison between the Fair Political Practices Commission and the campuses. Please contact Felice Bakre at (562) 951-4410 or Theresa Hines at (562) 951-4412 if you have any questions or need additional information. Thank you.

JRMcC/dth
Attachments

CSU CONFLICT OF INTEREST DISCLOSURE CATEGORIES and RELATED SCHEDULES

CATEGORY "1": [Schedules: B]

Interests in real property located in whole or in part within the master plan of the campus or which in the future foreseeably may be included in the master plan of the campus. For designated employees of a campus of the California State University, "the campus" shall mean the campus of the employee's service. For designated employees in the headquarters office, "the campus" shall mean each campus of the California State University.

CATEGORY "2": [Schedules: B]

Interests in real property which within the last two years have been the subject of a lease or license with the campus for valuable consideration or have been otherwise made the subject of a contract with the campus for valuable consideration of which in the future foreseeably may be so leased, licensed, or otherwise made the subject of a contract with the campus. For designated employees of a campus of the California State University, "the campus" shall mean the campus of the employees' service. For designated employees in the headquarters office, "the campus" shall mean each campus of the California State University and the headquarters office.

CATEGORY "3": [Schedules: A-1, A-2, B, C, D, E, F]

Interests in real property and investments and business positions in business entities, and income from sources located in whole or in part within two miles of the campus or within two miles of any land owned or used by the campus. For designated employees of a campus of the California State University, "the campus" shall mean the campus of the employees' service. For designated employees in the headquarters office, "the campus" shall mean each campus of the California State University.

CATEGORY "4": [Schedules: A-1, A-2, C, D, E, F]

Investments and business positions in any business entity or income from any source which, within the last two years, has contracted or in the future foreseeably may contract with the campus to provide supplies, materials, including books and periodicals, machinery, equipment, services or work of the type utilized by the campus. For designated employees of a campus of the California State University, "the campus" shall mean the campus of the employees' service. For designated employees in the headquarters office, "the campus" shall mean each campus of the California State University and the headquarters office or any or all of these.

CATEGORY "5": [Schedules: A-1, A-2, C, D, E, F]

Investments and business positions in any business entity or income from any source which, within the last two years, has contracted or in the future foreseeably may contract with the campus to provide supplies, materials, including books and periodicals, equipment, services or work of the type utilized by the school, department, or area for which the designated employee has decision-making authority or for which the designated employee participates in the making of the decision. For designated employees of a campus of the California State University, "the campus" shall mean the campus of the employees' service. For designated employees in the headquarters office, "the campus" shall mean each campus of the California State University and the Headquarters office or any of all of these.

CATEGORY "6": [Schedules: A-1, A-2, C, D, E, F]

Investments and business positions in any business entity or income from any source which, within the last two years, has contracted or in the future foreseeably may contract with the campus to purchase agricultural commodities or other products which are sold by the campus. For designated employees of a campus of the California State University, "the campus" shall mean the campus of the employees' service.

CATEGORY "7": [Schedules: A-1, A-2, C, D, E, F]

Investments and business positions in any business entity or income from any source which, within the last two years, has contracted or in the future foreseeably may contract with the campus to perform construction work within the estimated cost limitation provided in the first paragraph of Public Contract Code Section 10705 or to perform services in connection with such construction work or which, within the last two years, has contracted or in the future foreseeably may contract as a subcontractor or supplier for such construction work or which, within the last two years, has contracted or in the future foreseeably may contract with a service contractor to perform services in connection with such construction work pursuant to a separate contract with the service contractor. For designated employees of a campus of the California State University, "the campus" shall mean the campus of the employees' service. For designated employees in the headquarters office, "the campus" shall mean each campus of the California State University and the headquarters office or any or all of these.

CATEGORY "8": [Schedules: A-1, A-2, C, D, E, F]

Investments and business positions in any business entity or income from any source which, within the last two years, has contracted or in the future foreseeably may contract with the California State University to perform construction work under the California State University Contract Law (Public Contract Code Section 10700 et seq.) or to perform services in connection with such construction work or which, within the last two years, has contracted or in the future foreseeably may contract as a subcontractor or supplier for such construction work or has contracted or in the future foreseeably may contract with a service contractor to perform services in connection with such construction work pursuant to a separate contract with the service contractor.

CATEGORY "9": [Schedules: A-1, A-2, C, D, E, F]

Investments and business positions in any business entity or income from any source in which, within the last two years, the campus has invested funds or which in the future the campus foreseeably may invest funds. For designated employees of a campus of the California State University, "the campus" shall mean the campus of the employees' service. For designated employees in the headquarters office, "the campus" shall mean the headquarters office.

CATEGORY "10": [Schedules: B]

Interests in real property which within the last two years have been the subject of a lease or license with the headquarters office for valuable consideration or otherwise have been made the subject of a contract with the headquarters office for valuable consideration or which in the future foreseeably may be so leased, licensed, or otherwise made the subject of a contract with the headquarters office.

CATEGORY "11": [Schedules: A-1, A-2, C, D, E, F]

Investments and business positions in any business entity or income from any source which, within the last two years, has contracted or in the future foreseeably may contract with the headquarters office to provide supplies, materials, including books and periodicals, machinery, equipment, services or work of the type utilized by the headquarters office.

CATEGORY "12": [Schedules: A-1, A-2, C, D, E, F]

Investments and business positions in any business entity or income from any source which, within the last two years, has contracted or in the future foreseeably may contract with the headquarters office to provide supplies, materials, including books and periodicals, machinery, equipment, services or work of the type utilized by the office, division, or area for which the designated employee has decision-making authority or for which the designated employee participates in the making of the decision.

CATEGORY "13": [Schedules: A-1, A-2, C, D, E, F]

Investments and business positions in any business entity or income from any source which, within the last two years, has contracted or in the future foreseeably may contract with the headquarters office to perform construction work within the estimated cost limitation provided in the first paragraph of Public Contract Code Section 10705 or to perform services in connection with such construction work or which, within the last two years, has contracted or in the future foreseeably may contract as a subcontractor or supplier for such construction work or which, within the last two years, has contracted or in the future foreseeably may contract with a service contractor to perform services in connection with such construction work pursuant to a separate contract with the service contractor.

CATEGORY "14": [Schedules: A-1, A-2, C, D, E, F]

Investments and business positions in any business entity or income from any source which, within the last two years, has contracted or in the future foreseeably may contract with the campus to provide supplies, materials, machinery, equipment, services or work where the contract has been reviewed or in the future foreseeably may be reviewed by the office, area, or division in the headquarters office to which the designated employee is assigned. "The campus" as used herein shall mean each campus of the California State University and the headquarters office or any or all of these.

CATEGORY "15": [Schedules: B]

Interests in real property which within the last two years have been the subject of a lease or license with the headquarters office for valuable consideration or otherwise have been made the subject of a contract with the headquarters office for valuable consideration or which in the future foreseeably may be so leased, licensed or otherwise made the subject of a contract with the headquarters office. "Headquarters office" as used in this category shall mean the office, section, or area of the headquarters office concerning which the designated employee has decision-making or decision-participating authority.

CATEGORY "16": [Schedules: Form 730-U]

All investments in, income from, and business positions in, any private, nongovernmental entity which will be providing funds, or, in the case of a project completion statement, has provided funds, to support, in whole or in part, the research project for which the filer is the principal investigator. (The required disclosure shall be made on Form 730-U).

CATEGORY "17": [Schedules: on a case-by-case basis]

Consultants shall disclose pursuant to the broadest disclosure category in the code subject to the following limitation: The Chancellor or President as appropriate may determine in writing that a particular consultant, although a "designated position," is hired to perform a range of duties that is limited in scope and thus is not required to fully comply with the disclosure requirements in this category "17". Such written determination shall include a description of the consultant's duties and, based upon that description, a statement of the extent of disclosure requirements. The Chancellor or President's determination is a public record and shall be retained for public inspection in the same manner and location as this conflict of interest code.

CAMPUS:

I. New Positions

Title:

Disclosure Category:

II. Job Title Changes (Disclosure Category does NOT change):

From:

To:

III. Disclosure Category Changes:

Job Title:

From:

To:

IV. Eliminated Positions

Title:

Disclosure Category