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**To:** CSU Presidents

Please respond by: April 30, 2004

**From:** Jackie R. McClain  
Vice Chancellor  
Human Resources



**Subject:** **Conflict of Interest – New Data Submittal Process**

The Political Reform Act, Government Code Sections 81000, et seq., requires California State University, as an agency, to adopt and promulgate conflict of interest (COI) codes. Campuses were reminded on February 13, 2004 that the CSU's COI Code requires employees in designated positions to file an annual Statement of Economic Interests (Form 700) no later than April 1, 2004. Further, campuses were instructed to submit designated position list changes to the Chancellor's Office by April 30, 2004.

We are pleased to announce that Human Resources Administration has developed the electronic Conflict of Interest Designated Position Update Process (DPUP), which simplifies the process of reporting position list changes to the Chancellor's Office. The new database can be used to report new positions, job title changes, disclosure category changes, and to eliminate designated positions. Using the database, your campus Filing Officer will be able to print the campus' updated designated position list, and a report of the designated position list changes that have been made. A User's Guide provides step-by-step instructions to assist the Filing Officer in using the database. Microsoft Access software is required to use the database.

We have created a separate database file for each campus and populated it with the campuses current designated positions (based on the Fair Political Practices Commissions' (FPPC) approval of changes submitted by campuses during the 2002 and 2003 filing processes). A campus-specific data disk is being provided to your campus COI Filing Officer.

Human Resources Administration will conduct a DPUP demonstration via teleconference for COI Filing Officers on March 30, 2004, from 10:00 a.m. – 11:30 a.m. An email message will be sent directly to the COI Filing Officers to provide the dial-in telephone number and participant code. COI Filing Officers are to email Rachel Caracoza at [rcaracoza@calstate.edu](mailto:rcaracoza@calstate.edu) to register campus participants. *We request that Filing Officers review the DPUP materials prior to the teleconference.*

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**Distribution:**

With Attachments: Conflict of Interest Filing Officers

Without Attachments:

Vice Presidents, Academic Affairs

Vice Presidents, Administration

Vice Presidents/Deans of Students

Vice Presidents, Information Systems

Associate Vice Presidents/Deans, Faculty Affairs

Business Managers

Human Resources Directors

Payroll Managers

General Counsel

Director, SOSS

A summary of the new process Filing Officers will follow is outlined below:

- Receive campus-specific data disk,
- Review campus designated position list report before inputting changes (attached),
- Use database to input changes (data disk attached),
- Print “Designated Position List” report; review report for accuracy,
- Print “Designated Position List Changes” report, and
- Return data disk and copies of the reports to the Chancellor’s Office.

Title 2, California Code of Regulations, Section 18750 (e) (1) (D) requires that any amendment to the COI code include "written justification for any changes including all changes in or additions to the designations or disclosure responsibilities." General Counsel has created a list of decision-making responsibilities that campuses may use to help indicate the kind of decision-making authority possessed by employees in designated positions. For convenience, the corresponding letters of each listed item (A through F) may be used as a shorthand method for documentation purposes in the statement of reason section of the form. However, campuses are asked to provide information sufficient to explain the reason for the designated position list change submitted. (Refer to Attachment A.)

The following chart outlines the information that must be submitted for all substantive positions changes:

<b>Type of Change</b>	<b>Attach Job Description</b>	<b>Statement of Reason</b>	<b>Example of Statement of Reason (including shorthand codes)</b>
1. New Position	√	√	<b>D</b> - “Newly created position that makes decisions regarding the purchase of equipment for the campus.”
2. Job Title Change (only)	N/A	√	“Job title change only – duties remain the same.”
Job Title Change (if duties and disclosure category(ies) also change)	√	√	<b>F</b> - “Job title changed with expanded duties to include responsibility for trust fund investments.”
3. Disclosure Category Changes	√	√	<b>A, E</b> - “Duties added to include participation in decision making concerning campus master plan.”
4. Eliminated Positions	√ (Required only if position ceases to be designated, but still exists.)	√	“Position eliminated.”  (If a job has been deleted from list because campus has determined the position no longer meets the COI filing criteria, an explanation must be provided in the Statement of Reason.)

Questions regarding the COI filing process should be directed to Felice Bakre at (562) 951-4410. This document is also available on the Human Resources Administration's Web page at: <http://www.calstate.edu/HRAdm/memos.shtml>.

JRMcC/fb

Attachments – COI Filing Officers Only

- ✓ Defining Designated Positions Criteria
- ✓ Campus Designated Position List
- ✓ Designated Position Data Disk
- ✓ Designated Position Update Process User's Guide

## **Conflict of Interest**

### **Defining Designated Position Criteria**

***Makes, participates in, or influences decisions regarding:***

- A. The physical master plan of the university.
- B. The total enrollment of the university.
- C. The license, lease, purchase, or sale of real property of the university or for the university.
- D. Purchase of supplies, materials, commodities, machinery, equipment, services, or work for the university, school, department, or area.
- E. Entering into/amending construction contracts or service contracts in connection with construction contracts for the university.
- F. Investment of university funds.