


Date: February 24, 2011

Code: HR 2011-02

To: CSU Presidents

From: Gail E. Brooks 
Vice Chancellor
Human Resources

Subject: 2011 Conflict of Interest Annual Filing

Overview

Audience: Conflict of Interest Filing Officer or campus designee responsible for the Conflict of Interest (COI) Annual filing

Action Item: Each campus COI Filing Officer must distribute Form 700 (Statement of Economic Interests) to employees (including consultants) in designated positions, including those individuals identified through the interim disclosure process. Notice should be as soon as possible in order for employees to meet the April 1, 2011, deadline and ensure timely completion of required training.

Affected Employee Group(s)/Unit(s): All employees (including consultants) in designated positions in the COI code amended March 10, 2007 (see Attachment B), and those individuals identified through the interim disclosure process.

Summary

This HR letter provides campuses with the 2011 COI annual filing requirements for employees (including consultants) in designated positions, as well as those identified through the interim disclosure process. Annual forms must be filed by April 1, 2011.

Information regarding mandatory Ethics Training is also provided for use by the COI Officer.

This HR letter should be reviewed in its entirety by the campus Conflict of Interest Filing Officer and any campus designee responsible for the COI Annual filing.

The Political Reform Act, Government 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 (including consultants) in designated positions to file a Statement of Economic Interests (Form 700) on an annual basis. In addition, consultants and employees identified under the interim disclosure process, referenced in Technical Letter [HR 2010-01](#), are also required to file a Statement of Economic Interests (Form 700) on an annual

Distribution:

With Attachments:
Conflict of Interest Filing Officers

Without Attachments:
Chancellor Reed
All Campus Vice Presidents
AVPs/Deans, Faculty Affairs
Directors, Research and Sponsored Programs

Human Resources Directors
Business Managers
General Counsel

basis. This memorandum serves as a reminder that the individuals specified above, must file annual Statements by April 1, 2011.

Code Update

The Fair Political Practices Commission (FPPC) has not yet approved the CSU's COI Code amendment adopted by the Trustees at the July 2007 Board meeting. Our office is continuing to work with the FPPC to resolve outstanding issues and as a result, this year's filing will be based on campus designated position lists released on February 26, 2007, via HR 2007-03, Attachment B. In addition, the filing will also include those individuals identified through the interim disclosure process. Campuses will be notified by separate correspondence when CSU's code amendment is approved.

Attachment A provides the CSU disclosure categories list.

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 well as those identified through the interim disclosure process, as soon as possible. These employees must submit completed forms to the campus Filing Officer by April 1, 2011. *As a reminder, the Chancellor's Office does not need to be notified when the filing process is completed.*

Employees in designated positions, as well as those identified through the interim disclosure process, that filed during the last quarter of 2010 (October 1, 2010 through December 31, 2010), are not required to file during the 2011 annual filing period. The next time they will be required to file will be during the 2012 annual filing period.

Principal Investigators

There is no "annual" filing requirement for Principal Investigators (PIs); however, Title 2 regulations require PIs to file a form 700-U (Statement of Economic Interests for Principal Investigators) before the final acceptance of a contract, grant or gift, and when funding for such a contract or grant is renewed. **As a reminder pursuant to CSU policy, Principal Investigators also are required to file a project completion statement within 90 days after the expiration of the grant/contract, or after the funds have been completely expended in the case of a gift.** The Form 700-U has been modified to reflect this additional requirement and a copy is attached for campus use.

Principal Investigators must complete the ethics training within six (6) months of receiving the grant. Subsequent training is required at least once within each two calendar year period that the grant is in place.

Interim Disclosure Requirement

As referenced in Technical Letter [HR 2010-01](#), effective January 1, 2010, the Fair Political Practices Commission began requiring consultants and employees in newly created positions that make or participate in the making of decisions that may foreseeably have a material effect on any financial interest to file interim disclosure under Title 2, Section 18734. The interim disclosure requirement covers those positions that have not been incorporated into the CSU Conflict of Interest Code pending FPPC approval, and any subsequent position created by the campus to be added to the Code in a future update process. Under interim disclosure, employees and consultants hired into applicable positions are required to file an initial statement within 30 days of assuming office, and must file annually in conjunction with the FPPC annual filing requirements. Consultants and employees should file under the proposed disclosure categories identified for the designated position.

As a result of the new regulations, newly designated employees that were added to the campus' 2007 Conflict of Interest Code update or subsequent positions that are going to be added to the Code were required to complete Form 700 within 30 days of January 1, 2010, the effective date of the interim disclosure regulation, or within 30 days of assuming office.

Consultants and employees in newly designated positions that filed interim disclosures during the last quarter of 2010 (October 1, 2010 through December 31, 2010), are not required to file during the 2011 annual filing period. The next time they will be required to file will be during the 2012 annual filing period.

Campus Designated Position List Update Process

The campus designated position list update process will be delayed until further notice.

Annual Filing Documents

The following information is included in 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 seventeen (17) disclosure categories.
2. **Campus Designated Position List (Attachment B)** - Updated with changes submitted during the 2007 filing process and represents the current CSU COI code.
3. **Handbook for State Agency Filing Officers and Filing Officials – Statement of Economic Interests** (revised November 1997) - Provides information to assist COI Filing Officers with the administration of the Form 700 filing process.
4. **2010-2011 Statement of Economic Interests Form 700** - 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. **2010-2011 Form 700 Statement of Economic Interests Reference Pamphlet** - Provides information to assist employees in designated positions on how to complete their Form 700.
6. **Principal Investigator's Statement of Economic Interests Form 700-U and Instructions for Statement of Economic Interests for Principal 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." Pursuant to CSU policy, Principal Investigators are required to file a project completion statement within 90 days after project completion. The Form 700-U has been modified to reflect this additional requirement.
7. **Limitations and Restrictions on Gifts, Honoraria, Travel and Loans Fact Sheet** - This fact sheet summarizes the major provisions concerning gifts, honoraria, travel and loans. **The aggregate limitation on gifts, which is indexed for inflation every two years, is \$420 from a single source in a calendar year.**

Ethics Training

All employees in designated positions, as well as those that fall under the interim disclosure requirement, must complete the ethics training. The training is delivered online and is accessible wherever web access is available. It is delivered in an interactive format. Completion time is approximately 50 minutes, with testing embedded throughout content. A unique course link will be sent to each participant by Workplace Answers, the vendor for this training.

Employees will be able to access the training by invitation only. The invitations will be prompted from the list of filers submitted by each campus and will be communicated electronically to individual e-mail accounts. COI Filing Officers

are able to monitor completions through a learning management system. Reminders will be sent by Workplace Answers to filers until training is complete.

It is the responsibility of campus COI Filing Officers to complete the following tasks in regards to the ethics training:

- Provide Systemwide Professional Development with the names and contact information of the individuals that are required to take the training, so that online training accounts may be established;
- Provide Systemwide Professional Development with updates to the master list of trainees so that training notices are delivered in a timely fashion and so that names of separated employees are removed from notification lists; and
- Send an e-mail notification to designated employees (including consultants), as well as those identified through the interim disclosure process, reminding them of their ethics training obligations under the Conflict of Interest code, and to watch for an e-mail from Workplace Answers when the training is due.

Questions regarding ethics training should be directed to Robin Innes, Senior Manager, Systemwide Professional Development at (562) 951-4499 or rinnes@calstate.edu.

Training

Human Resources Management will host a teleconference for COI Filing Officers on Tuesday, March 8, 2011, from 2:00 p.m. to 3:30 p.m. to discuss the annual filing process, the ethics training requirement, and answer campus questions. Further information regarding registration for this meeting will be forwarded to each COI Filing Officer via e-mail.

General Information

Systemwide Human Resources will continue to operate in an advisory capacity and serve as a liaison between the Fair Political Practices Commission and the campuses. Questions should be directed to Donelle George at (562) 951-4410. This document is also available on the Human Resources Management's Web page at: <http://www.calstate.edu/HRAdm/memos.shtml>.

GB/dg

Attachments – COI Filing Officers only

CSU CONFLICT OF INTEREST DISCLOSURE CATEGORIES

CATEGORY "1"

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"

Interests in real property which is of the type to be 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"

Interests in real property and investments and business positions in business entities, and income, including gifts, loans, and travel payments, 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"

Investments and business positions in any business entity or income, including gifts, loans, and travel payments, from any source which is of the type to 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"

Investments and business positions in any business entity or income, including gifts, loans, and travel payments, from any source which is of the type to 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"

Investments and business positions in any business entity or income, including gifts, loans, and travel payments, from any source which is of the type to 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"

Investments and business positions in any business entity or income, including gifts, loans, and travel payments, from any source which is of the type to 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 is of the type to 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"

Investments and business positions in any business entity or income, including gifts, loans, and travel payments, from any source which is of the type to 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 is of the type to contract as a subcontractor or supplier for such construction work or is of the type to 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"

Investments and business positions in any business entity or income, including gifts, loans, and travel payments, from any source which is the type of entity in which 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"

Interests in real property which is of the type to be leased licensed, or otherwise made the subject of a contract with the headquarters.

CATEGORY "11"

Investments and business positions in any business entity or income, including gifts, loans, and travel payments, from any source which is of the type to 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"

Investments and business positions in any business entity or income, including gifts, loans, and travel payments, from any source which is of the type to 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"

Investments and business positions in any business entity or income, including gifts, loans, and travel payments, from any source which is of the type to 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 which is of the type to contract as a subcontractor or supplier for such construction work or which is of the type to 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"

Investments and business positions in any business entity or income, including gifts, loans, and travel payments, from any source which is of the type to 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"

Interests in real property which is of the type to be the subject of a lease or license with the headquarters office for valuable consideration or is of the type to be 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"

All investments in income, including gifts, loans, and travel payments, 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 700-U).

CATEGORY "17"

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.

California State University, Bakersfield

Designated Positions

Disclosure Categories

• President	1, 2, 3, 4, 7, 8, 9
• Accounting Officer	4, 5, 7
• Assistant Vice President for Facilities Management	5
• Assistant Vice President, Fiscal Services	4, 5, 7, 9
• Assistant Vice President, Student Life	5
• Associate Director of Athletics	5
• Associate Vice President and Dean, Undergraduate Studies	5
• Associate Vice President for Enrollment Management	5
• Asst. Vice President for Grants, Research & Sponsored Programs	5, 10, 16
• Consultants	17
• Custodial Supervisor	5
• Dean of School of BPA	5
• Dean of School of Education	5
• Dean, Extended University Division	5
• Dean, Humanities & Social Sciences	5
• Dean, Natural Sciences and Math	5
• Director of Athletics	5
• Director of Computer Services	5
• Director of Custodial, Grounds and Support Services	5
• Director of Facilities Management	5
• Director of Facilities Operations	5
• Director of Housing	5
• Director of Public Safety	5
• Director of Student Health	3, 4, 5
• Director, Contract Services & Procurement	4, 5, 7
• Director, Human Resources	5
• Division Director, Financial Aid and Scholarships	5
• Division Director, Outreach Services	5
• Division Director, University Services	5
• Head Coach, 12 Month	5
• Head Coach, Academic Year	5
• Principal Investigators	16
• Provost and Academic Vice President	2, 5
• Purchasing Agent	4, 5, 7
• Supervisor, Roads and Grounds	5
• Vice President for Business and Administrative Services	1, 2, 3, 5, 7
• Vice President for Student Affairs	2, 5
• Vice President, University Advancement	5

CSU Office of the Chancellor

Designated Positions

Disclosure Categories

• Trustee *	1, 2, 3, 4, 6, 8, 9
• Chancellor	1, 2, 3, 4, 6, 8, 9
• Administrative Director, Community Service Learning	5, 12
• Administrative Manager, Academic Affairs	5, 12
• Application Support Manager	5, 12
• Assistant Art Director	5, 12
• Assistant Director, Academic Services	5, 12
• Assistant Director, Administration	4, 5, 10, 11, 12, 13
• Assistant Director, California Academic Partnership Programs	5, 12
• Assistant Director, Corporate Information Systems	6, 12
• Assistant Director, Finance/International Programs	5, 12
• Assistant Director, Purchasing	2, 5, 7, 11, 12, 14
• Assistant Director, Sponsored Program Management	5, 12
• Assistant Director, Student Affairs	5, 12
• Assistant Director, Systemwide Contracts	2, 7, 14
• Assistant Director, Teacher Education and Public Schools	5, 12
• Assistant Director, Technical Operations	5, 12
• Assistant University Planner	5, 12
• Assistant Vice Chancellor for Federal Relations	5, 12
• Assistant Vice Chancellor, Academic Affairs, Student Academic Support	5, 12
• Assistant Vice Chancellor, Academic Programs	5, 12
• Assistant Vice Chancellor, Academic Research and Resources	5, 12
• Assistant Vice Chancellor, Advancement Services	5, 9, 12
• Assistant Vice Chancellor, Budget Development	5, 12
• Assistant Vice Chancellor, Business Planning and Information Management	5, 12
• Assistant Vice Chancellor, Capital Planning, Design and Construction	1, 2, 3, 4, 6, 8, 9
• Assistant Vice Chancellor, Financial Services	5, 12
• Assistant Vice Chancellor, Governmental Affairs	5, 12
• Assistant Vice Chancellor, Human Resources	5, 12
• Assistant Vice Chancellor, Human Resources Administration	5, 12
• Assistant Vice Chancellor, Information Technology Services	5, 12
• Assistant Vice Chancellor, Teacher Education and Public Schools	5, 12
• Associate Chief of Staff	5, 12
• Associate Dean, Academic Program Planning	5, 12
• Associate Director of Teacher Education and Public School Program	5, 12
• Associate Director, Advocacy and Institutional Relations	5, 12
• Associate Director, Analytic Studies	5, 12
• Associate Director, Business Planning	5, 12

* Ex officio members of the Board of Trustees who serve as such due to their elected state offices are excluded by the Act. (See last sentence of Government Code Section 87302[b].)

Designated Positions

Disclosure Categories

• Associate Director, Corporate Information Systems	5, 12
• Associate Director, Enrollment Management Services	5, 12
• Associate Director, Financial Aid	5, 12
• Associate Director, Human Resource Services	5, 12
• Associate Director, Information Dissemination Access	5, 12
• Associate Director, Outreach and Early Assessment	5, 12
• Associate Director, Policy	5, 12
• Associate Director, Risk Management	5, 12
• Associate Director, Student Academic Support	5, 12
• Associate Director, Systemwide Electronic Information Resources	5, 12
• Associate Director, Systemwide Financial Reporting	5, 12
• Associate Director, Technology Integration	5, 12
• Associate Director, Transfer Programs	5, 12
• Associate Facility Planner	5, 12
• Associate Vice Chancellor, Academic Affairs	5, 12
• Audit Manager	1, 2, 3, 4, 6, 8, 9, 14
• Audit Supervisor	1, 2, 3, 4, 6, 8, 9, 14
• BMS Project Director	5, 12
• Budget Analyst	5, 12
• Budget Director	5, 12
• Buyer Technician	5, 12
• C.O. Contracts Coordinator	2, 7, 14
• Campus Relations Administrator	5, 12
• Chancellor's Office Budget Director	5, 12
• Chief Land Use Planning & Environmental Review	5, 12
• Chief of Staff	5, 12
• Chief of Staff, Information Technology Services	5, 12
• Chief, Architecture and Engineering	1, 2, 3, 5, 8, 12
• Chief, Construction Management	2, 5, 8, 12
• Chief, Facilities Planning	5, 12
• Chief, Plant, Energy and Utilities	1, 2, 3, 5, 8, 12
• CMS Campus Liaison	5, 12
• CMS Executive Project Manager	5, 12
• CMS Finance Project Director	5, 12
• CMS Help Desk Manager	5, 12
• CMS Security Project Director	5, 12
• CMS Training & Documentation Project Director	5, 12
• Construction Engineer	2, 5, 8, 12

Designated Positions

Disclosure Categories

• Consultant	17
• Contract Manager, Software and Electronic Information Resources	7, 11, 14
• Contract Specialist	2, 7, 11, 13, 14
• Contract Specialist, Special Programs	2, 7, 11, 13, 14
• Contract Specialist, Systemwide Contracts	2, 7, 11, 13, 14
• Contracts and Infrastructure Coordinator	5, 12
• Creative Director	5, 12
• CSU Events/State University House Manager	5, 12
• Dean, Academic Program Planning	5, 12
• Deputy General Counsel	1, 2, 3, 4, 6, 8, 9, 14
• Director of Accounting	5, 9, 12
• Director of Administration	4, 5, 10, 11, 12, 13
• Director of Development	5, 9, 12
• Director of Financial Management Services	5, 12
• Director of MERLOT Member Services	5, 12
• Director of MERLOT Technology	5, 12
• Director Teacher Education, Evaluation and Assurance	5, 12
• Director, Academic Technology Development	5, 12
• Director, Academic Technology Initiatives	5, 12
• Director, Business Management Systems	5, 12
• Director, Center for Distributed Learning	5, 12
• Director, Center for the Improvement of Reading Instruction	5, 12
• Director, CMS Hardware Operations Support and Services	5, 12
• Director, CMS Software Operations Support and Services	5, 12
• Director, Communication and Business Development	4, 5, 12, 14
• Director, Communications	5, 12
• Director, Compensation Information and HR Management	5, 12
• Director, Contracts and Procurement	2, 5, 7, 8, 9, 12, 14
• Director, Corporate Information Systems	5, 12
• Director, CSU Summer Arts	5, 12
• Director, Desktop Services	5, 12
• Director, Financial Management Services	5, 12
• Director, Foundation Programs and Advancement	5, 9, 12
• Director, Human Resources Information Support and Analysis	5, 12
• Director, Identity Management	5, 12
• Director, Information Dissemination and Access (IDA)	5, 12
• Director, Infrastructure Terminal Resources Project	5, 12
• Director, International Programs	5, 12

Designated Positions

Disclosure Categories

• Director, Media Arts Festival/Assistant Director Summer Arts	5, 12
• Director, Merlot Strategic Development	5, 12
• Director, Network Engineering and Design	5, 12
• Director, Public Affairs	5, 12
• Director, Systemwide Library Initiatives	5, 12
• Director, TIS Finance and Administration	5, 12
• Director, University Affairs	5, 12
• Energy Program Manager	5, 12
• Executive Assistant to the Executive Vice Chancellor, Business and Finance and Chief Financial Officer	5, 12
• Executive Director, CSSA	5, 12
• Executive Program/Fiscal Manager	2, 5, 8, 12
• Executive Project Manager	5, 12
• Executive Staff Assistant	5, 12
• Executive Vice Chancellor, Academic Affairs, Chief Academic Officer	1, 2, 3, 4, 6, 8, 9, 14
• Executive Vice Chancellor, Business/Finance and Chief Financial Officer	1, 2, 3, 4, 6, 7, 8, 9, 14
• Facilities Manager	4, 5, 10, 11, 12, 13
• Facilities Planning Manager	5, 12
• Financial Analyst	2, 7, 8, 9, 14
• Financial Information Systems Administrator	5, 12
• Financial Information Systems Analyst	5, 12
• Financial Manager	2, 7, 8, 9, 14
• General Counsel	1, 2, 3, 4, 6, 8, 9, 14
• Human Resources Administration Specialist	5, 12
• Human Resources Specialist	5, 12
• Internal Auditor	1, 2, 3, 4, 6, 8, 9, 14
• Labor Compliance/Construction Manager	2, 5, 8, 12
• Land Use Planning Program Manager	2, 5, 8, 12
• Lead Budget Analyst	5, 12
• Lead Contract Specialist	2, 7, 11, 14
• Legislative Advocate Analyst	5, 12
• Legislative Director	5, 12
• Manager of Client Services	5, 12
• Manager of Investigations	1, 2, 3, 4, 6, 8, 9, 14
• Manager, Accounts Payable	5, 12
• Manager, Communications and Administration	5, 12
• Manager, Conference Services	5, 12
• Manager, Copy Center	5, 12

Designated Positions

Disclosure Categories

• Manager, Customer Services, Network Operations	5, 12
• Manager, Employee Relations	5, 12
• Manager, Employee Relations, EEO	5, 12
• Manager, External Data Systems	5, 12
• Manager, General Accounting	5, 12
• Manager, Governmental Affairs Administration & Operations	5, 12
• Manager, Information Competence Initiative	5, 12
• Manager, Labor Relations	5, 12
• Manager, Media Relations	5, 12
• Network Specialist	5, 12
• Network Systems Administrator	5, 12
• PeopleSoft HR Project Director	5, 12
• PeopleSoft Project Director	5, 12
• PeopleSoft Student Administration Project Director	5, 12
• PeopleSoft Technical Project Director	5, 12
• Physical Plant Program Manager	1, 2, 3, 5, 8, 12
• Principal Facility Planner	1, 3
• Principal Investigators	16
• Printing Coordinator	5, 12
• Production Manager	5, 12
• Program Analyst, Institutional Relations	5, 12
• Program Director, Institutional Relations	5, 12
• Project Administrator	5, 12
• Project Manager, CSU Unified Information Access System	5, 12
• Project Manager, Systemwide Quality Improvement	5, 12
• Recruitment Manager	5, 12
• Senior Auditor	2, 4, 6, 8, 9
• Senior Director, Academic Human Resources	5, 12
• Senior Director, Academic Technology Services	5, 12
• Senior Director, Analytic Studies	5, 12
• Senior Director, Chancellor's Office ITS	5, 12
• Senior Director, CMS	5, 12
• Senior Director, Emerging Technology Solutions	5, 12
• Senior Director, Employee Relations	5, 12
• Senior Director, External Relations	5, 12
• Senior Director, Financial Services Accounting	5, 12
• Senior Director, Financing and Treasury	2, 5, 7, 8, 9, 12, 14
• Senior Director, Human Resource Services	5, 12

Designated Positions

Disclosure Categories

• Senior Director, Strategic Project Support	5, 12
• Senior Director, Systemwide Professional Development	5, 12
• Senior Director, Systemwide Risk Management	5, 12
• Senior Director, Technology Advice and Policy	5, 12
• Senior Director, Technology Infrastructure Initiatives	5, 12
• Senior Director, University Audits	1, 2, 3, 4, 6, 8, 9, 14
• Senior Financial Manager	2, 7, 8, 9, 14
• Senior Financial Reporting Manager	5, 12
• Senior Manager, Benefits and Personnel Program Administration	5, 12
• Senior Manager, Communications	5, 12
• Senior Manager, HR Systems and Programs	5, 12
• Senior Manager, Human Resources Relations, Benefits Development and Compliance	5, 12
• Senior Manager, Human Resources Services	5, 12
• Senior Manager, Labor Relations	5, 12
• Senior Research Associate	5, 12
• Senior Technology Infrastructure Architect	5, 12
• Special Consultant	17
• State University Dean, Extended Education	5, 12
• Statewide Director, California Academic Partnership Programs	5, 12
• Systemwide Technical Contracts Specialist	5, 11, 12
• Team Leader	1, 2, 3, 4, 6, 8, 9, 14
• Technical Project Director	5, 12
• Technical Recruiter	5, 12
• Technical Support Manager	5, 12
• University Architect	1, 2, 3, 5, 8, 12
• University Auditor	6, 8, 9
• University Counsel	1, 2, 3, 4, 6, 8, 9, 14
• University Engineer	1, 2, 3, 5, 8, 12
• University Planner	1, 3
• Vice Chancellor, Human Resources	1, 2, 3, 4, 6, 8, 9

California State University, Channel Islands

Designated Positions

Disclosure Categories

• President	1, 2, 3, 4, 7, 8, 9
• Assistant Dean, Associate MBA Director	5
• Assistant Vice President, Student Affairs	5
• Associate Architect	2, 5, 7
• Associate Dean for Student Life	5
• Associate Director of Advancement Events	5
• Associate Director of Alumni Relations	5
• Associate Director, Engineering	5
• Associate Director, Grounds and Custodial Services	5
• Associate Vice President, Operations, Planning and Construction	2, 7, 9
• AVP Human Resources Programs	1, 2, 3, 4, 6, 8, 9
• AVP Office of Research & Sponsored Programs	5, 9
• Buyer II	2, 4, 5, 7, 8
• Buyer III	2, 4, 5, 7, 8
• Campus Planner	1, 2, 5, 7
• Chief Information Officer	4, 5, 9
• Construction Administrator	2, 5, 7
• Consultants	17
• Dean of Enrollment Services	5
• Dean of Faculty	1, 2, 3, 4, 5
• Dean of Student Life	5
• Director of Communications and Marketing	5
• Director of Donor Relations	5
• Director of Research & Sponsored Programs	5, 9
• Director of Student Leadership & Development	5
• Director of Transportation and Parking Services	5
• Director of University Development	5
• Director, Environmental Health, Safety and Risk Management	1, 2, 3, 4, 5, 9
• Director, Extended Education & Distance Learning	5
• Director, Information Management	4, 5
• Director, University Glen Corporation	1, 2, 3, 5, 6, 7, 8
• Facilities Director	2, 7, 9
• Human Resources Manager	5
• Manager, Information Technology User Services	5
• Manager, Internal and External Reporting	5
• Manager, Police Communications and Support Services	5
• Manager, Procurement and Support Services	1, 2, 3, 4, 5, 6, 7, 8
• Office Manager, Operations, Planning and Construction	5

Designated Positions

Disclosure Categories

• Police Chief	5
• Principal Investigators	16
• Procurement Analyst	2, 4, 5, 7, 8
• Procurement Card Holders	5
• Project Manager	2, 5, 6, 8
• Special Assistant to the President	1, 2, 3, 4, 5, 9
• Sponsored Programs and Financial Reporting Supervisor	5
• University Librarian	5
• Vice President for Advancement	5
• Vice President for Academic Affairs - Provost	1, 2, 3, 4, 5, 6
• Vice President for Finance and Administration	1, 2, 3, 4, 6, 8, 9
• Vice President for Sales for University Glen Corporation	1, 2, 3, 5, 6, 7, 8
• Vice President for Student Affairs	4, 5, 9

California State University, Chico

Designated Positions

Disclosure Categories

• President	1, 2, 3, 4, 7, 8, 9
• Articulation Officer	5
• Assistant Vice President, Student Life	5
• Associate Director, Educational Support Services	5
• Associate Provost, Academic Affairs	5, 7
• Associate Vice President, Financial Services	1, 2, 3, 4, 5, 7, 8, 9
• Associate Vice President, Student Affairs	5
• Buyer I (2)	2, 4, 7
• Buyer II (4)	2, 4, 7
• Buyer III (Lead)	2, 4, 7
• Dean of Graduate School, International, and Interdisciplinary Studies	4, 5
• Dean, College of Agriculture	2, 5, 6
• Dean, College of Behavioral and Social Sciences	5
• Dean, College of Business	5
• Dean, College of Communication and Education	5
• Dean, College of Engineering, Computer Science & Construction Management	5
• Dean, College of Humanities & Fine Arts	5
• Dean, College of Natural Sciences	5
• Dean, Regional and Continuing Education	5
• Development Director, College of Agriculture	5
• Development Director, College of Natural Sciences	5
• Development Officer, College of Comm. & Education	5
• Development Officer, College of HFA	5
• Director of Admissions	5
• Director of Development Research	5
• Director of Major Gifts and Planned Giving	5
• Director of University Support Services	4, 5
• Director, Advising and Orientation	5
• Director, Agriculture Business Institute	5
• Director, Alumni and Parent Relations	5
• Director, Annual Giving and Advancement Services	5
• Director, Athletics	5
• Director, Career Planning and Placement	5
• Director, CMS Project	5
• Director, Communication Services	5
• Director, Computing Services	5
• Director, Educational Support Program	5
• Director, Employment Practices and Employee Disability Programs	5

Designated Positions

Disclosure Categories

• Director, Environment Health and Safety	3, 4, 5
• Director, Facilities Management and Services	5, 7
• Director, Facilities Planning	1, 2, 3, 5, 7
• Director, Financial Aid	5
• Director, Geographic Institute	3, 4, 5
• Director, Institutional Research	3, 4, 5
• Director, Instructional Media Center and Academic Technologies	3, 4, 5
• Director, Library Services	5
• Director, Operations	1, 2, 3, 4, 5, 7, 8, 9
• Director, Payroll/Benefits Services and System Support	5
• Director, Procurement Services	2, 4, 7
• Director, Psych-Counseling, Wellness and Testing	5
• Director, Public Affairs	5
• Director, Risk Management and Business Services	5
• Director, Sponsored Programs	4, 5
• Director, Staff Human Resources	5
• Director, Student Health Service	5
• Director, University Housing and Food Service	3, 4, 5
• Director, University Police	5
• Director, University Public Events	5
• Director, User Support Services	4, 5
• Executive Assistant to the President	3, 5
• Head, Library Access Services	5
• Librarian, Collection Management and Tech Services	5
• Manager, KCHO	5
• Manager, University Farm	6
• Manager, University Printing Services	4, 7
• Manager, Warehouse Operations	4, 7
• Principal Investigators	16
• Procurement Card Holder	5
• Provost and Vice President Academic Affairs	3, 5, 7
• Vice President for Student Affairs	3, 5
• Vice President for University Advancement	5
• Vice President, Business and Finance	3, 4, 7, 8, 9, 14
• Vice Provost for Enrollment Management	5
• Vice Provost for Human Resources	5
• Vice Provost for Information Resources and Chief Information Officer	5
• Vice Provost for Planning and Resource Allocation	3, 4, 5

Designated Positions

- Vice Provost for Research

Disclosure Categories

4, 5

California State University, Dominguez Hills

Designated Positions

Disclosure Categories

• President	1, 2, 3, 4, 7, 8, 9
• Assistant Director, Physical Plant	5, 7
• Assistant Vice President, Faculty Affairs	1, 2, 3, 5, 7
• Associate Dean of Natural and Behavioral Sciences	5, 6
• Associate Dean, College of Business Administration and Public Policy	5
• Associate Dean, College of Education	5
• Associate Dean, College of Extended and International Education	3, 5
• Associate Dean, College of Health and Human Services	5
• Associate Dean, College of Liberal Arts	5
• Associate Director, Physical Plant	5, 7
• Associate Vice President, Administration	1, 2, 3, 5, 7
• Associate Vice President, Development and Marketing	1, 2, 3, 5, 7
• Associate Vice President, Information Technology	1, 2, 3, 5, 7
• Associate Vice President, Student Affairs	1, 2, 3, 5, 7
• Athletic Director	5
• Buyer	4, 7
• CMS Project Director	5
• Construction Manager, Facilities Planning and Construction	1, 3, 4, 7, 8
• Consultants	17
• Credit Card Procurement Cardholders	4, 7
• Dean, College of Business Administration and Public Policy	5
• Dean, College of Education	1, 2, 3, 5, 7
• Dean, College of Extended and International Education	3, 5
• Dean, College of Health and Human Services	5
• Dean, College of Liberal Arts	5
• Dean, Graduate Studies and Research	5
• Dean, Natural and Behavioral Sciences	5
• Dean, Undergraduate Studies	5
• Dean, University Library	5
• Director of Accounting Services	5
• Director of Financial Aid	5
• Director, Admissions	5
• Director, Alumni Affairs	3, 5
• Director, Disabled Student Services and Veterans' Affairs	5
• Director, Facilities and Construction Management	1, 2, 3, 7, 8
• Director, Health Programs and Psychological Counseling	5
• Director, Human Resources Management	5
• Director, Institutional Research	5

Designated Positions

Disclosure Categories

• Director, Instructional Media	5
• Director, Plant Operations	5, 7
• Director, Procurement and Support Services	4, 7
• Director, Research and Funded Projects	5
• Director, Risk Management, Environmental Health and Safety	5
• Executive Assistant to the President	1, 2, 3, 4, 7, 9
• Principal Investigators	16
• Registrar	5
• Supervisor, Grounds and Landscape	5, 7
• Vice President, Academic Affairs/Provost	1, 2, 3, 5, 7
• Vice President, Administration	1, 2, 3, 4, 7, 9
• Vice President, Student Affairs	1, 2, 3, 5, 7
• Vice President, University Advancement	1, 2, 3, 5, 7
• Vice Provost, Academic Affairs	1, 2, 3, 5, 7
• Work Control Coordinator	5, 7

California State University, East Bay

Designated Positions

Disclosure Categories

• President	1, 2, 3, 4, 7, 8, 9
• Assistant Controller	5, 9
• Assistant Vice President, Enterprise Services	4, 5, 7
• Associate Vice President, Academic Programs & Graduate Studies	5
• Associate Vice President, Academic Resources	5
• Associate Vice President, Business and Financial Services and Risk Manager	1, 2, 3, 4, 7
• Associate Vice President, Continuing and International Education	5
• Associate Vice President, Facilities Planning and Operations	4, 5, 8
• Associate Vice President, Information and Computing Services	5
• Budget Officer	4, 9
• Buyer	4, 7
• Consultants	17
• Contracts Manager	4, 7
• Controller	5
• Dean, College of Arts, Letters and Social Science	5
• Dean, College of Business and Economics	5
• Dean, College of Education and Allied Studies	5
• Dean, College of Science	5
• Dean, Contra Costa Center	5
• Design and Construction Coordinator	5
• Director, Advancement Services	5
• Director, Facilities Management	5, 7
• Director, Media and Technology Services	5
• Director, Student Health Services	5
• Director, University Police Department	5
• Director, University Technology Projects	5
• Pharmacist	5
• Pharmacist-In-Charge	5
• Principal Investigators	16
• Procurement and Support Services Officer	4, 7
• Procurement Card Holders	4, 9
• Purchasing Manager	4, 7
• Senior Director, Division of Continuing and International Education	5
• University Librarian	5
• Vice President, Academic Affairs/Provost	1, 2, 3, 5, 7
• Vice President, Administration and Business Affairs	1, 2, 3, 4, 7, 9
• Vice President, Student Affairs	5
• Vice President, University Advancement	5

California State University, Fresno

Designated Positions

Disclosure Categories

• President	1, 2, 3, 4, 6, 7, 8, 9
• Assistant University Controller for Athletics	1, 2, 3, 4, 6, 7, 8, 9
• Associate Dean, College of Agricultural Sciences and Technology	2, 3, 4, 5, 6, 9
• Associate Dean, College of Arts and Humanities	2, 3, 4, 5
• Associate Dean, College of Engineering	2, 3, 4, 5
• Associate Dean, College of Health and Human Services	2, 3, 4, 5
• Associate Dean, College of Science and Mathematics	2, 3, 4, 5
• Associate Dean, College of Social Sciences	2, 3, 4, 5
• Associate Dean, Craig School of Business	2, 3, 4, 5
• Associate Dean, Graduate Studies	2, 3, 4, 5
• Associate Dean, Kremen School of Education and Human Development	2, 3, 4, 5
• Associate Dean, Library Services	2, 3, 4, 5
• Associate Director of Athletics	1, 2, 3, 4, 6, 7, 9
• Associate Director, Grants and Research	1, 2, 3, 4, 5, 7
• Associate Director, Information Technology Services	3, 4, 5
• Associate Provost for Academic Affairs	2, 4, 5, 6
• Associate Provost, Academic Resources	4, 5
• Associate Vice President for Academic Affairs, Academic Personnel	3, 4, 5
• Associate Vice President for Communications	2, 3, 4, 5
• Associate Vice President for Global and Continuing Education	2, 4, 5
• Associate Vice President for Grants and Research	2, 3, 4, 5, 7, 9, 17
• Associate Vice President for Student Affairs, Enrollment Services	3, 4, 5
• Associate Vice President/Associate Dean and Director, University Health and Counseling Services	3, 4, 5
• Budget Officer	1, 2, 3, 4, 6, 7, 9
• Budget Officer, Academic Affairs	1, 2, 3, 4, 6, 7, 9
• Buyers	2, 4, 5, 6, 7, 8
• Campaign Director	1, 2, 3, 4, 5, 7, 8, 9
• Chief of Police	4, 5, 7
• Consultants	17
• Dean of College of Engineering	2, 4, 5
• Dean of Graduate Studies	2, 4, 5
• Dean of the College of Arts and Humanities	2, 4, 5
• Dean of the College of Health and Human Services	2, 4, 5
• Dean of the College of Science and Mathematics	2, 4, 5
• Dean of the College of Social Sciences	2, 4, 5
• Dean of the School of Education and Human Development	2, 4, 5
• Dean of Undergraduate Studies	2, 4, 5, 6

Designated Positions

Disclosure Categories

• Dean, College of Agricultural Sciences and Technology	2, 3, 4, 5, 6
• Dean, Craig School of Business	2, 4, 5, 6
• Dean, University Library Services	3, 4, 5
• Director of Advancement Operations	1, 2, 3, 4, 5, 6, 7, 9
• Director of Athletics	1, 2, 3, 4, 6, 7, 9
• Director of Facilities	1, 2, 3, 4, 5, 7
• Director of Financial Aid	3, 4, 5
• Director of Human Resources	2, 3, 4
• Director of Institutional Research, Planning and Assessment	3, 4, 5
• Director of Planned Giving	1, 2, 3, 4, 5, 7, 8, 9
• Director of Procurement and Support Services	2, 4, 5, 7, 8
• Director of Prospect Research	1, 3, 4, 5, 6, 7, 9
• Director of Public Safety	3, 4, 5
• Director, Academic Services Center	4
• Director, Accounting Services	2, 4, 6
• Director, Agricultural Operations	2, 3, 4, 5, 6
• Director, Campus Information Systems	4
• Director, Environmental Health and Safety	4
• Director, Facilities Planning	1, 2, 3, 5, 7
• Director, Information Technology Services	3, 4, 5
• Director, University Student Union	2, 3, 5
• Director, Utilities Management	2, 4, 5, 7
• Executive Director, Auxiliary Services	1, 2, 3, 4, 5, 7, 9
• Executive Director, Student Affairs	2, 3, 4, 5
• Executive Director, Student Life	2, 3, 4, 5
• Head Sport Coach	1, 2, 3, 5, 9
• Internal Auditor	1, 2, 3, 4, 6, 7, 8, 9
• Principal Investigators	16
• Procurement Card Holders	2, 4, 5, 6, 7, 8
• Provost/Vice President for Academic Affairs	2, 4, 5, 6
• School Development Officers	2, 4, 5, 7, 9
• Stewardship Director	2, 4, 5, 7, 8, 9
• University Controller	1, 2, 3, 4, 5, 6, 7, 9
• Vice President for Administration	1, 2, 3, 4, 6, 7, 8, 9
• Vice President for Student Affairs/Dean of Students	2, 3, 4, 5
• Vice President, University Advancement	1, 2, 3, 4, 5, 7, 8, 9

California State University, Fullerton

Designated Positions

Disclosure Categories

• President	1, 2, 3, 4, 6, 7, 8, 9
• Assistant to the Vice President, Student Affairs	5
• Assistant Vice President for Enrollment Services	1, 3, 5, 9
• Assistant Vice President, Budget Operations	2, 3, 5
• Associate Dean, Judicial Affairs	2, 5
• Associate Director, Accounts Payable	1, 3, 5
• Associate Director, Student Financial Services	5
• Associate University Librarian	5
• Associate Vice President for Finance	1, 2, 3, 4, 5, 6, 7, 9
• Associate Vice President, Academic Affairs	1, 2, 3, 5
• Associate Vice President, Administration	1, 2, 3, 4, 6, 7, 9
• Associate Vice President, Administration & Campus	1, 2, 3, 5, 6, 7
• Associate Vice President, Communications & Marketing	2, 3, 5
• Associate Vice President, Public Affairs & Government Relations	2, 3, 5
• Associate Vice President, Student Affairs	2, 5
• Associate Vice President, Undergraduate Programs	1, 2, 3, 5
• Associate Vice President, University Advancement/Public Affairs	5
• Buyer II	1, 2, 3, 4, 6, 7
• Buyer III	1, 2, 3, 4, 6, 7, 9
• Chief Information Technology Officer	2, 5
• Chief of Budget Planning & Strategy	1, 2, 3, 4, 6, 7, 9
• Consultants	17
• Contract Analyst	4, 5
• Contracts Operations Manager	1, 2, 3, 4, 5, 6, 7, 8
• Controller	4, 5, 9
• Dean of Students	2, 3, 5
• Dean, College of Business Administration and Economics	2, 5
• Dean, College of Communications	2, 5
• Dean, College of Education	2, 5
• Dean, College of Engineering & Computer Science	2, 5
• Dean, College of Health & Human Development	2, 5
• Dean, College of Humanities and Social Sciences	2, 5
• Dean, College of Natural Sciences and Mathematics	2, 5
• Dean, College of the Arts	2, 5
• Dean, University Extended Education Services	2, 5
• Director of Admissions	1, 3, 5, 9
• Director of Athletics	2, 3, 5
• Director of Center for Internships & Service Learning	2, 5

Designated Positions

Disclosure Categories

• Director of Contracts and Procurement	1, 2, 3, 4, 6, 7, 9
• Director of Grants & Contracts	2, 4, 5, 6
• Director of Housing and Residential Life	2, 3, 5
• Director of Internal Audit	1, 2, 3, 4, 6, 7, 9
• Director of International Education & Exchange	2, 5, 6
• Director of Physical Plant	5
• Director of Public Safety/Chief of Police	5
• Director of State & Federal Relations	5
• Director of Student Academic Services	1, 2, 3, 5
• Director of the Faculty Development Center	5
• Director of Women's Center	5
• Director, Academic Affairs Budget	5
• Director, Accounting & Financial Reporting	2, 3, 5
• Director, Budget & Administration	5
• Director, Business Planning & Improvement	1, 2, 3, 4, 6, 7, 9
• Director, Cal State Fullerton Irvine Campus	2, 5
• Director, Career Planning and Placement	5
• Director, Design and Construction	2, 5, 7
• Director, Disabled Students	5
• Director, Environmental Health & Instructional Safety	3, 4, 5, 7
• Director, Faculty Affairs and Records	5
• Director, Financial Aid	5
• Director, Financial Operations-Payables	4
• Director, Institute of Gerontology	5
• Director, Institutional Research and Analytical Studies	5
• Director, Risk Management	1, 2, 3, 5
• Director, Student Financial Services	4
• Division Head, Kinesiology and Health Promotions	2, 3, 5
• Executive Assistant, Financial Management	1, 2, 3, 4, 6, 7, 9
• Executive Director of Student Health & Counseling Center	5
• Executive Director, Alumni Relations	3, 4, 5, 6
• Executive Director, Associated Students	5
• Executive Director, Foundation	1, 2, 3, 5
• Executive Director, Human Resources	5
• Executive Vice President	1, 2, 3, 4, 6, 7, 9
• Manager, Logistical Services	4
• Principal Investigators	16
• Procurement Operations Manager	4

Designated Positions

Disclosure Categories

• Senior Director, Business Systems	1, 2, 3, 4, 6, 7, 9
• Titan Shops Director	1, 2, 3, 5
• University Articulation Officer, Admissions & Records	5
• University Librarian	5
• Vendor Data Program Manager	4, 5
• Vice President, Academic Affairs	1, 2, 3, 5
• Vice President, Administration & Finance/Chief Financial Officer	1, 2, 3, 4, 6, 7, 9
• Vice President, Student Affairs	5
• Vice President, University Advancement	2, 5

Humboldt State University

Designated Positions

Disclosure Categories

• President	1, 2, 3, 4, 7, 8, 9
• Accounting Manager	5
• Acquisition Librarian	5
• Associate Deans	5
• Associate Director, Housing Facility Services	4, 5, 7, 8
• Associate Vice President for Academic Personnel	5
• Associate Vice President, Business Services	1, 2, 3, 4, 7
• Associate Vice President, Enrollment Management	5
• Associate Vice President, Facilities Management	1, 2, 3, 4, 5, 7, 9
• Buyer	5, 7
• Chief Information Officer	5
• Chief of Police	5
• Circulation Librarian	5
• Consultants	17
• Dean, College of Arts, Humanities and Social Sciences	5
• Dean, College of Natural Resources and Sciences	5
• Dean, College of Professional Studies	5
• Dean, Graduate Studies and Research	5
• Director of Admissions	5
• Director of Alumni Relations	5
• Director of Construction Management	4, 5, 7, 8
• Director of Facilities Planning	4, 5, 7, 8
• Director of Housing and Residential Life	1, 3, 5, 7
• Director of Human Resources and Risk Management	5
• Director of Intercollegiate Athletics	2, 3, 5
• Director, Budget and Institutional Data for Academic Affairs	1, 2, 5, 7
• Director, Contracts & Procurement	2, 3, 4, 7
• Director, Extended Education	5
• Director, Financial Services	1, 2, 3, 4, 7
• Director, Health and Counseling Services	5
• Director, Office of Financial Aid	5
• Director, Plant Operations	5, 7
• Director, Public Affairs	5
• Director, University Advancement	5
• General Manager, HSU Foundation	1, 2, 3, 5, 7, 9
• General Manager, KHSU	5
• Medical Chief of Staff	5
• Pharmacist	5

Designated Positions

Disclosure Categories

• Principal Investigators	16
• Procurement Card Holders	4, 5
• Procurement Card Holders Approving Official	5
• Project Director - CMS	5
• Project Manager/Inspector	4, 5, 7, 8
• Provost and Vice President for Academic Affairs	1, 2, 3, 4, 5, 7, 9
• Risk Manager	5
• Senior Development Officer	5
• University Librarian	5
• University Registrar	5
• Vice President for Administrative Affairs	1, 2, 3, 4, 5, 7, 9
• Vice President of University Advancement	1, 2, 3, 4, 5, 7, 9
• Vice President, Student Affairs	1, 2, 3, 4, 5, 7, 9
• Vice Provost for Academic Programs and Undergraduate Education	5

California State University, Long Beach

Designated Positions

Disclosure Categories

• President	1, 2, 3, 4, 7, 8, 9
• Administrative Services Manager (14 positions)	2, 5
• Assistant Construction Manager/Inspector	1, 2, 5, 7
• Assistant Dean of Students	3, 5
• Assistant Dean, University College and Extension Services	2, 5
• Assistant Director, Administrative Operations, Facilities	5
• Assistant Director, Maintenance, Housing and Residential Life	5
• Assistant Vice President, Academic Resources	2, 5
• Assistant Vice President, Administration and Finance	2, 5
• Assistant Vice President, Alumni Relations and Annual Giving	2, 5
• Assistant Vice President, Estate Planning and Endowment	2, 5
• Assistant Vice President, Government & Community Relations	2, 5
• Associate Athletic Director/Chief Financial Officer	5
• Associate Athletic Director/General Manager, Pyramid	5
• Associate Athletic Director/Senior Women's Administrator	5
• Associate Dean, College of Business Administration	2, 3, 5
• Associate Dean, College of Health and Human Services	2, 3, 5
• Associate Dean, College of the Arts	2, 3, 5
• Associate Dean, Facilities, College of Natural Sciences and Mathematics	2, 3, 5
• Associate Dean, Fiscal Planning and Research, College of Liberal Arts	2, 3, 5
• Associate Dean, Instruction, College of Engineering	4, 5
• Associate Dean, Research and Development, College of Engineering	2, 3, 5
• Associate Dean, University College and Extension Services	2, 3, 5
• Associate Dean, University Library	2, 3, 5
• Associate Director, Administrative Services, Housing and Residential Life	2, 5
• Associate Director, Facilities Management	5
• Associate Director, Planning and Design Services	1, 2, 5, 7
• Associate Director, Residential Life	2, 5
• Associate Vice President for Academic Affairs, Research and External Support	2, 3, 5
• Associate Vice President for Financial Management	1, 2, 3, 4, 7, 9
• Associate Vice President for Physical Planning and Facilities Management	1, 2, 3, 4, 5, 7
• Associate Vice President, Academic Personnel	5
• Associate Vice President, Budget and Human Resources Management	1, 2, 3, 4, 7, 9
• Associate Vice President, Enrollment Services	2, 5
• Associate Vice President, Graduate and Undergraduate Programs	5
• Associate Vice President, Information Technology Services	2, 4, 7
• Associate Vice President, Student Services	1, 2, 3, 4, 7
• Associate Vice President, Student Services, Dean of Students	3, 5

Designated Positions

Disclosure Categories

• Associate Vice President, University Relations	2, 5
• Associate Vice President, University Relations and Development	3, 5
• Associate Vice President, University Services and Chief of Staff	1, 2, 3, 4, 7
• Bursar	4
• Buyer, Procurement Card	5
• Buyers, Central (8 positions)	4, 7
• Capital Project Manager, Planner/Architect	1, 2, 5, 7
• Captain of Field Services, University Police	5
• Chief of Police	5
• Chief Staff Physician	5
• Clinical Coordinator, Student Health Services	5
• Common Management Systems (CMS) Project Director	4
• Construction Manager	1, 2, 5, 7
• Consultants	17
• Controller	2, 3, 4, 7, 9
• Coordinator, Electronic Classroom Support	5
• Coordinator, Operations and Technical, Student Health Services	5
• Corporate Administrative Support	5
• Dean, College of Business Administration	2, 3, 5
• Dean, College of Education	2, 3, 5
• Dean, College of Engineering	2, 3, 5
• Dean, College of Health and Human Services	2, 3, 5
• Dean, College of Liberal Arts	2, 3, 5
• Dean, College of Natural Sciences and Mathematics	2, 3, 5
• Dean, College of the Arts	2, 3, 5
• Dean, University College and Extension Services	2, 3, 5
• Dean, University Library and Academic Technology Services	5
• Director of Facilities Management	2, 5
• Director of Financial Management, Information Systems	4
• Director of Housing and Residential Life	2, 5
• Director of Physical Planning	1, 2, 3, 4, 7
• Director of Student Health Services	2, 5
• Director, Administrative Computing Services, Information Technology	2, 5
• Director, Alumni Records/Systems Management	5
• Director, American Language Institute	2, 3, 5
• Director, Benefits and Staff Human Services	5
• Director, Budget and Human Resources, Student Services	2, 5
• Director, Budget Management	2, 5

Designated Positions

Disclosure Categories

• Director, Bureau of Governmental Research and Services	2, 5
• Director, California Institute for Preservation of Jazz	2, 5
• Director, Career Development Center	5
• Director, Center for Advanced Technology Support for Aerospace Industry	2, 5
• Director, Center for Advancement of Philosophy in Schools	2, 5
• Director, Center for Asian Pacific American Studies	2, 5
• Director, Center for Behavioral Research and Services	2, 5
• Director, Center for Career Studies	2, 5
• Director, Center for Criminal Justice	2, 5
• Director, Center for Disability Studies and Scholarship	2, 5
• Director, Center for Educational Technology and Learning	2, 5
• Director, Center for Electronic Design Automation	2, 5
• Director, Center for Entrepreneurship	2, 5
• Director, Center for European Studies	2, 5
• Director, Center for Excellence in Construction	2, 5
• Director, Center for First Amendment Studies	2, 5
• Director, Center for Health Care Innovation	2, 5
• Director, Center for Humanities	2, 5
• Director, Center for Information Strategies and Technologies	2, 5
• Director, Center for Innovative Food Service Technologies	2, 5
• Director, Center for South & Southeast Asian Studies	2, 5
• Director, Center for Successful Aging	2, 5
• Director, Center for Usability in Design and Assessment	2, 5
• Director, Child Welfare Training Center	2, 5
• Director, Disabled Student Services	2, 5
• Director, Earl Burns Miller Japanese Garden	5
• Director, Educational Opportunity Program	2, 5
• Director, Employee Relations	2, 5
• Director, Enrollment and Facilities	2, 5
• Director, Equity and Diversity	2, 5
• Director, Facilities and Technology Planning, College of Liberal Arts	2, 5
• Director, George L. Graziadio Center for Italian Studies	2, 5
• Director, Graduate Programs and Executive Education, College of Business Administration	2, 5
• Director, Human Resources Technical Support	4
• Director, Institute for Judeo Christian Origins	2, 5
• Director, Internal Auditing Services	2, 3, 4
• Director, International Programs	2, 5

Designated Positions

Disclosure Categories

• Director, Judicial Affairs	2, 3, 4
• Director, Movement Science Laboratories	5
• Director, Multicultural Center	2, 5
• Director, Network Services	2, 5
• Director, New Media Communications/University Webmaster	5
• Director, Payroll Services	5
• Director, Physical Therapy Assessment Center	2, 5
• Director, Planning and Design Services	1, 2, 5, 7
• Director, Procurement and Support Services	2, 3, 4, 7
• Director, Safety and Risk Management	2, 5
• Director, Southern California Marine Institute	2, 5
• Director, STARS/SOAR (Student Transition and Retention Services/Student Orientation, Advising and Registration)	5
• Director, Strategic Planning and Vice Provost for Enrollment	1, 2, 5
• Director, Student Administration Systems	4
• Director, Student Life and Development	2, 5
• Director, Telecommunications/Resource Management	2, 5
• Director, Testing and Evaluation Services	5
• Director, University Art Museum	2, 5
• Director, University Counseling and Psychological Services	2, 5
• Director, University Outreach and School Relations	2, 5
• Director, University Research and Compliance	2, 3, 5
• Director, Women's Resource Center	2, 5
• Division Fiscal Manager, PPFM	2, 5
• Executive Assistant to the President	1, 2, 3, 4, 7, 9
• Executive Director for Assessment, College of Engineering	2, 3, 5
• Executive Director of Athletics	2, 3, 4, 7
• Executive Director of CSULB Alumni Association/Executive Director of Alumni Relations	5
• Executive Director, Carpenter Performing Arts Center	5
• Executive Director, Center for Language Minority Education and Research	2, 5
• Executive Director, International Trade and Transportation, UCES	2, 5
• Faculty Services Manager, Academic Computing Services, Development Lab	5
• General Manager, Carpenter Performing Arts Center	5
• Head Coaches	5
• Lead Procurement and Accounts Payable Coordinator	5
• Lieutenant, University Police	5
• Manager, Custodial Services, Facilities Management	5

Designated Positions

Disclosure Categories

• Manager, Engineering Services	5
• Manager, Grounds and Landscape Services	5, 6
• Manager, Physical Planning and Facilities Management Information Systems	5
• Manager, Purchasing	2, 3, 4, 7
• Manager, Technical Support Services, College of Liberal Arts	5
• Manager, Technology Help Desk, Academic Computing Services	5
• Manager, University Print Shop	5
• Pharmacist	5
• Principal Investigators	16
• Project Manager/Architect	1, 2, 5, 7
• Projects Manager, Planner/Architect	1, 2, 5, 7
• Provost and Senior Vice President for Academic Affairs	1, 2, 3, 4, 7, 9
• Reprographics Program Supervisor	5
• Senior Construction Manager	1, 2, 5, 7
• Senior Director, Parking, Transportation and Event Services	2, 3, 5, 7
• Senior Director, Technology and Distance Learning, University College and Extension Services	2, 5
• Senior Project Manager	1, 2, 5, 7
• Special Assistant to the President	5
• Supervisor, Materials Management	4, 7
• Technical Director, Hauth Center for Communication Skills	2, 5
• Vice President for Administration and Finance	1, 2, 3, 4, 7, 9
• Vice President for Student Services	1, 2, 3, 4, 7, 9
• Vice President for University Relations and Development	1, 2, 3, 4, 7, 9

California State University, Los Angeles

<u>Designated Positions</u>	<u>Disclosure Categories</u>
• President	1, 2, 3, 4, 6, 7, 8, 9
• Academic Technology Support, Manager of Desktop Services	5
• Academic Technology Support, Manager of User Services	5
• Administrative Assistant, Student Health Center	5
• Administrative Manager, Facilities Services	5
• Admissions Director and University Registrar	5
• Admissions Officer/Admissions and University Outreach	5
• Assistant Director for Applicant Services	5
• Assistant Director of Utilities	4, 5
• Assistant Director, Administrative Technology	5
• Assistant Director, Analytical Studies and Data Administration	5
• Assistant Director, Athletics/Administrative Services	5
• Assistant Director, Building and Grounds	4, 5
• Assistant Director, Building Maintenance	4, 5, 7, 8
• Assistant Director, Facilities Services	5, 7
• Assistant Director, HRM	5
• Assistant Director, HRM/Equity & Diversity Officer/Faculty Affairs	5
• Assistant Director, Residence Life and Housing Services	3, 5
• Assistant Executive Director, Publications/Public Affairs for Marketing Communication	5
• Assistant Registrar for Records	5
• Assistant University Controller	5
• Assistant Vice President for Student Affairs/Enrollment Management	5
• Assistant Vice President for Student Affairs/Student Services	5
• Assistant Vice President for University Development	5
• Associate Dean for Academic Affairs, Business Economics	5
• Associate Dean for Instruction and Academic Programs/Charter College of Education	5
• Associate Dean, Business and Economics	5
• Associate Dean, Charter College of Education	5
• Associate Dean, College of Arts and Letters	5
• Associate Dean, College of Engineering	5
• Associate Dean, Graduate Studies & Research	5
• Associate Dean, Health & Human Services	5
• Associate Dean, Instruction and Graduate Studies	5
• Associate Dean, Natural and Social Sciences	5
• Associate Dean, Student Services Education	5
• Associate Dean, Undergraduate Studies	5

<u>Designated Positions</u>	<u>Disclosure Categories</u>
• Associate Director, Athletics	5
• Associate Director, Educational Opportunity Program (EOP)	5
• Associate Director, Student Financial Aid	5
• Associate Executive Director, Luckman Fine Arts Complex	5
• Associate Registrar	5
• Associate University Librarian	5
• Associate Vice President for Academic Affairs	5
• Associate Vice President for Administration & Finance/Financial Services	1, 2, 3, 4, 7, 8, 9
• Associate Vice President, Academic Affairs, Planning and Resources	5
• Asst. V.P. Acad. Affrs, Plng. & Resources/Dean Educational Support Services	4, 5
• Budget Manager	5
• Buyer	4
• Chief of Custodial Services	5
• Consultants	17
• Coordinator, Academic Affairs Resource Management	5
• Custodial Services Manager	4, 5
• Dean, Charter College of Education	5
• Dean, College of Arts and Letters	5
• Dean, College of Business and Economics	5
• Dean, College of Engineering, Computer Science and Technology	5
• Dean, College of Health and Services	5
• Dean, Division of Extended Education	2, 5
• Dean, Graduate Studies and Research	5
• Dean, Health and Human Services	5
• Dean, Natural and Social Sciences	5
• Dean, Undergraduate Studies	5
• Development Directors	5
• Director of Annual Giving	5
• Director of Extension and Summer Session	2, 5
• Director of Public Safety	5
• Director of Student Financial Services	5
• Director, Administrative Information Services	5
• Director, Administrative Technology & Support Services	4, 5
• Director, Advancement Services/University Development	5
• Director, Alumni Marketing and Advocacy, Alumni Relations	5
• Director, Alumni Relations	5
• Director, Analytical Studies and Data Administration	5
• Director, Career Development Center	5

<u>Designated Positions</u>	<u>Disclosure Categories</u>
• Director, CMS and Enterprise Systems	5
• Director, Educational Opportunity Program	5
• Director, Facilities Planning and Construction	4, 5, 7, 8
• Director, Facilities Services	4, 5, 7, 8
• Director, Health Center	5
• Director, Housing Services	3, 5
• Director, HRM	5
• Director, Institutional Research	5
• Director, Intercollegiate Athletics	5
• Director, International Student Programs and Services	5
• Director, IT Security and Compliance	5
• Director, ITS Financial and Support Services	4, 5
• Director, Luckman Gallery	5
• Director, Medial Relations/Public Information	5
• Director, Network and Communication Services	5
• Director, Office for Students with Disabilities	5
• Director, Outreach and Recruitment	5
• Director, Parking & Transportation Services	5
• Director, Procurement and Support Services	4, 5, 7
• Director, Public Information/Editorial Services	5
• Director, Research Administration	5
• Director, Roybal Institute for Applied Gerontology	5
• Director, Student Life	5
• Director, University Budgets & Real Property Development	2, 3, 5
• Employment Services Manager	5
• Environmental Health and Safety Officer/Risk Manager	5
• Equity & Diversity Specialist	5
• Executive Assistant to the President	5
• Executive Director, Development	5
• Executive Director, Luckman Fine Arts Complex	5
• Executive Director, Publications/Public Affairs	5
• Facilities Manager, Luckman Fine Arts Complex	5
• Facilities Operations, Project Coordinator	5
• Facilities Planner/Project Manager	4, 5, 7, 8
• Facilities Services Operations Manager	4, 5, 7, 8
• Facility and Event Manager, Athletics	5
• Fiscal Officer, Arts and Letters	5
• Fiscal Officer, Education	5

Designated Positions

Disclosure Categories

• Fiscal Officer, Natural and Social Sciences	5
• Grants Administrator	2, 5
• Grounds Manager	4, 5
• Grounds Supervisor, Facilities Operations	5
• Health and Human Services, Program Management Specialist	5
• Internal Auditor	5
• Judicial Affairs Officer/Student Affairs	5
• Library Administrative Services Officer	5
• Lieutenant/Assistant Director of Public Safety	5
• Manager, Cashiers and Disbursement	5
• Manager, Classification/Compensation, Benefits	5
• Manager, Human Resources	5
• Manager, IT Operations	5
• Manager, Payroll Services	5
• Manager, Reprographics & Mail Services	5
• Manager, Social Science Data Base Archive	5
• Manager, Support Services	5
• Medical Chief of Staff	5
• MESA Director	5
• Principal Investigators	16
• Procurement Card Holders	5
• Project and Recycle Manager	4, 5
• Provost and Vice President for Academic Affairs	3, 5, 6
• Resource Coordinator, Business and Economics	5
• Special Asst. to the Vice President for Administration & Chief Financial Officer	5
• Sports Information Director, Athletics	5
• Staff Auditor	5
• Student Affairs Fiscal Resource Manager	5
• Supervising Nurse, Student Health Center	5
• Supervisor, Building Trades	5
• Tax Specialist	4, 5
• Technical Equipment Supervisor	5
• Telecommunications Operations Supervisor	4, 5
• University Controller	4, 5
• University Counsel	1, 2, 4, 5, 7, 8, 14
• University Librarian	5
• University Testing Center Coordinator	5

Designated Positions

- Vice President for Administration and Chief Financial Officer
- Vice President, Information Technology Services & Chief Technology Officer
- Vice President, Institutional Advancement
- Vice President, Student Affairs

Disclosure Categories

- 1, 2, 3, 4, 5, 7, 8, 9
- 4, 5
- 3, 5, 9
- 3, 5

California Maritime Academy

Designated Positions

Disclosure Categories

• President	1, 2, 3, 4, 6, 7, 8, 9
• Academic Dean	5
• Buyer III	4
• Chief Engineer, Training Ship	5
• Chief Information Officer	4, 5
• Consultants	17
• Controller	1, 2, 3, 4, 5, 7, 8, 9
• Dean, Sponsored Projects & Extended Learning	5
• Director of Alumni Affairs & Annual Giving	5
• Director of Facilities Operations	5, 7
• Director of Financial Aid	5
• Director of Leadership Development	5
• Director of Public Relations	5
• Director, Athletics	5
• Director, Campus Life	5
• Director, Career Development and Placement	5
• Director, Center for Excellence and Learning	2, 5
• Director, Continuing Education	2, 5
• Director, Enrollment Services	2, 5
• Director, Human Resources	5
• Director, Maritime Security Projects	5
• Director, Student Health Center	5
• Executive Director, CMA Services	4, 5
• Executive Director, Facilities Planning & Operations	1, 2, 3, 5, 7, 8
• Library Director	5
• Maritime Operations Manager, Chief Mate	5
• Principal Investigators	16
• Procurement Cardholders	5
• Vice President, Academic Affairs	1, 2, 3, 5
• Vice President, Administration & Finance	1, 2, 3, 4, 5, 7, 8, 9
• Vice President, Marine Programs & Captain of the Training Ship	1, 2, 3, 5
• Vice President, University Advancement and Executive Director of the Foundation	5

California State University, Monterey Bay

Designated Positions

Disclosure Categories

• President	1, 2, 3, 4, 7, 8
• Account Officer, Payment Section	5
• Administrative Director, CSUMB Auxiliary Corporations	1, 2, 3, 4, 5, 7, 8, 9
• Assistant Director, Grants and Contracts	5
• Assistant Vice President, Campus Planning and Development	1, 2, 3, 5, 7, 8
• Associate Director of Financial Aid	1, 2, 3, 4, 5
• Associate Director, Academic Technology and Media Services	5
• Associate Director, Information Systems and Network Services	5
• Associate Vice President for Student Affairs	2, 3, 4, 5
• Associate Vice President for University Relations	5
• Associate Vice President of Finance	2, 3, 4, 5, 9
• Associate Vice President, Academic Planning, Research, & Graduate Studies	4, 5
• Associate Vice President, Facilities Development and Operations	1, 2, 3, 5, 7, 8
• Associate Vice President, Institutional Effectiveness	2, 3, 4, 5
• Associate Vice President, Student Affairs, Residential Learning	2, 3, 4, 5
• Associate Vice President, University Human Resources	5
• Buyer, Purchasing	4, 5, 7, 8
• Campus Construction Inspector	5, 7, 8
• Chief Information Officer	5
• Chief of Staff	1, 2, 3, 4, 5, 7, 8, 9
• Consultants	17
• Contracts Coordinator	4, 5, 7, 8
• Custodial and Grounds Coordinator	5
• Dean of Extended Education & Director of International Programs	1, 2, 3, 4, 5
• Dean of Student Life	1, 2, 3, 4, 5
• Dean, College of Arts, Humanities and Social Sciences	5
• Dean, College of Professional Studies	5
• Dean, College of Science, Media Arts and Technology	5
• Dean, College of University Studies and Programs	5
• Director of Athletics, Sports and Recreation and Health	5
• Director of Community & K12 Partnerships	5
• Director of Planned Giving	5
• Director of the Presenting Program and World Theater	5
• Director of University Development	4, 5, 9
• Director, Academic Personnel Services	5
• Director, Accounting	5
• Director, Admissions and Records	5
• Director, Alumni Association	5, 9

Designated Positions

Disclosure Categories

• Director, Budget and Planning	2, 3, 4, 5, 9
• Director, Business and Support Services	4, 5, 7, 8
• Director, Campus Service Center	5
• Director, Design and Construction	1, 2, 3, 5, 7, 8
• Director, Distributed Learning and Extended Education	5
• Director, Diversity, Equity, and Employment Practices	5
• Director, Employee Housing Project	5, 7, 8
• Director, Environmental Protection, Health and Safety	3, 4, 5
• Director, Facilities Services and Operations	5
• Director, Financial Aid	5
• Director, First Year Experience Programs	3, 4, 5
• Director, Grants and Contracts	4, 5, 7, 8, 9
• Director, Institutional Assessment and Research	5
• Director, Library Learning Complex	5
• Director, Outreach and Recruitment Services	2, 3, 4, 5
• Director, Personal Growth and Counseling Center	5
• Director, Public Safety/Chief of Police	5
• Director, Staff and Management Personnel	5
• Director, Student Information System	5
• Director, Teaching, Learning and Assessment	5
• Director, Technology Support Services	4, 5
• Director, University Human Resources Operations	5
• Executive Director of Information Technology	5
• Information Security Officer	4, 5
• Lead Construction Manager	5, 7, 8
• Major Gifts Officer	5, 9
• Manager of Energy and Utilities Projects	5, 7, 8
• Manager of Extended Education & International Programs	1, 2, 3, 4, 5
• Manager, Campus Service Center and Quality Improvement	5
• Manager, University Advancement Services	5
• Minor Capital Project Manager	5, 7, 8
• Principal Investigators	16
• Procurement Card Holders	5
• Provost/Vice President, Academic Affairs	1, 2, 3, 4, 5, 7, 8, 9
• Regional Center Academic Director	5
• Special Assistant to the Provost	5
• Systems Project Manager	5
• Vice President, Administration & Finance	4, 5, 7, 8, 9

Designated Positions

- Vice President, Student Affairs
- Vice President, University Advancement

Disclosure Categories

1, 2, 3, 5, 7
1, 2, 3, 5, 7

California State University, Northridge

Designated Positions

Disclosure Categories

• President	1, 2, 3, 4, 7, 8, 9
• Assistant Director, Logistical Services	4
• Associate Athletic Director	5
• Associate Vice President for Academic Resources	1, 2, 3, 5, 7
• Associate Vice President, Graduate Studies, Research and International Programs	5
• Associate Vice President, Undergraduate Studies	5
• Asst VP for Resource Management	2, 3, 5
• Buyers, Purchasing (6)	4, 7
• Chief Information Officer	1, 2, 3, 5, 7
• Chief of Staff, Office of the President	1, 2, 3, 5, 7
• Consultants	17
• Dean, College of Arts, Media and Communication	5
• Dean, College of Business Administration and Economics	5
• Dean, College of Education	5
• Dean, College of Engineering and Computer Science	5
• Dean, College of Extended Learning	2, 3, 5
• Dean, College of Health and Human Services	5
• Dean, College of Humanities	5
• Dean, College of Science and Mathematics	5
• Dean, College of Social and Behavioral Sciences	5
• Dean, Library	5
• Director of Systems and Technology	5
• Director, Articulation, Admissions and Records	5
• Director, Budget Planning and Management	1, 2, 3, 4, 7, 9
• Director, Facilities Planning	1, 2, 3, 5, 7
• Director, Governmental and Community Relations	1, 2, 3, 5, 7
• Director, Intercollegiate Athletics	5
• Director, ITR/Application Development	5
• Director, ITR/Computer & Technology Systems	5
• Director, ITR/Network Engineering & Operations	5
• Director, ITR/User Support Services	5
• Director, Learning Resource Center	5
• Director, National Center on Deafness	1, 2, 3, 4, 7, 9
• Director, Physical Plant Management	5, 7
• Director, Public Safety	5
• Director, Research and Sponsored Projects	5
• Director, Residential Life and University Conference Services	3, 5, 7

Designated Positions

Disclosure Categories

• Director, Student Health Center	5
• Director, The Career Center	5
• Executive Assistant to Vice President, Administration and Finance	1, 2, 3, 4, 7, 9
• Internal Auditor	1, 2, 3, 4, 7, 9
• Manager of Advancement Resources	1, 2, 3, 4, 7, 9
• Manager, Purchasing and Contract Administration	4, 7
• Materials Manager, PPM	4, 7
• Principal Investigators	16
• Procurement Card Holders	5
• Provost and Vice President for Academic Affairs	1, 2, 3, 4, 7, 9
• University Controller	1, 2, 3, 4, 7, 9
• Vice President for University Advancement	1, 2, 3, 4, 7, 9
• Vice President, Administration and Finance	1, 2, 3, 4, 7, 9
• Vice President, Student Affairs	1, 2, 3, 5, 7

California State Polytechnic University, Pomona

Designated Positions

Disclosure Categories

• President	1, 2, 3, 4, 6, 7, 8, 9
• Acquisitions Librarian	5
• Acquisitions Order/Receiving Unit Supervisor	5
• Associate Director, Enrollment Services	5
• Associate Director, Equine Sciences	5, 6
• Associate Vice President and Dean of Students	5
• Associate Vice President for Faculty Affairs	5
• Associate Vice President for Research and Graduate Programs	5, 16
• Associate Vice President, Enrollment Services	5
• Associate Vice President, Facilities Planning and Management	4, 5, 7, 8, 14
• Associate Vice President, Finance and Administrative Services	1, 2, 3, 4, 5, 6, 7, 8, 9, 14
• Associate Vice President, I & IT	5
• Associate Vice President, Student Affairs Administration	5
• Associate Vice President, Student Services	5
• Associate Vice President, University Development	5
• Associate Vice President, University Relations	5
• Buyer	4
• Buyer, Lead	4, 5, 7, 8
• Consultants	17
• Dean, College of Agriculture	5, 6
• Dean, College of Arts, Letters and Social Sciences	5
• Dean, College of Business Administration	5
• Dean, College of Education and Integrative Studies	5
• Dean, College of Engineering	5
• Dean, College of Environmental Design	5
• Dean, College of Extended University	5
• Dean, College of Science	5
• Dean, Collins School of Hospitality Management	5
• Dean, University Library	5
• Director for Academic Resources	1, 2, 3, 5, 6, 7
• Director, Accounting Services	5
• Director, Admissions and Outreach	5
• Director, Alumni Affairs	5
• Director, Arabian Horse Center	5, 6
• Director, Athletics	5
• Director, Budget Services	1, 2, 3, 4, 6, 7, 9
• Director, Center of Regenerative Studies	5
• Director, Counseling and Psychological Services	5

<u>Designated Positions</u>	<u>Disclosure Categories</u>
• Director, Disability Resource Center	5
• Director, Diversity and Compliance	5
• Director, Facilities Design and Construction	1, 2, 3, 5, 6, 7, 8, 14
• Director, Facilities Management	5
• Director, Facilities Planning	1, 2, 3, 5, 6, 7, 8, 14
• Director, Financial Aid	5
• Director, Housing	5
• Director, I & IT Learning	5
• Director, I & IT Operations	5
• Director, I & IT Projects and Applications	5
• Director, I & IT Support	5
• Director, I & IT Systems	5
• Director, International Center	4, 6, 9
• Director, Learning Resource Center	5
• Director, Procurement and Support Services	4, 5, 7, 8, 14
• Director, Public Safety	5
• Director, Research and Sponsored Programs	5
• Director, Student Accounting and Cashiering Services	5
• Director, Student Health Services	5
• Director, Student Orientation and Development Programs	5
• Director, The Career Center	5
• Executive Director of Business Services	2, 3, 5
• Executive Director, Divisional IT Services	5
• Executive Director, Institutional Research, Assessment and Planning	5
• Executive Director, Student Support and Equity Programs	5
• Head Coach	5
• Manager, Building and Construction Services	5
• Manager, Energy Services	1, 2, 3, 5, 6, 7
• Manager, Graphic Communication Services	4, 5
• Manager, Meat Lab	5, 6
• Physical Access Coordinator	4, 5, 12, 13
• Principal Investigators	16
• Procurement Card Holder	5
• Provost and Vice President, Academic Affairs	1, 2, 3, 4, 5, 6, 7, 9
• Registrar	5
• Supervisor, Ag Valley	5, 6
• Supervisor, Crops	5, 6
• Supervisor, Orchard Operations	5, 6

Designated Positions

- Supervisor, Sheep Unit
- Supervisor, Swine Unit
- Systems Librarian
- University Veterinarian
- Vice President for Administrative Affairs
- Vice President for Instructional and Information Technology
- Vice President for Student Affairs
- Vice President for University Advancement

Disclosure Categories

- 5, 6
- 5, 6
- 5
- 5, 6
- 1, 2, 3, 4, 5, 6, 7, 8, 9, 14
- 1, 2, 3, 4, 5, 6, 7, 8, 14
- 1, 2, 3, 4, 5, 6, 7, 8, 9, 14
- 1, 2, 3, 4, 5, 6, 7, 8, 9, 14

California State University, Sacramento

<u>Designated Positions</u>	<u>Disclosure Categories</u>
• President	1, 2, 3, 4, 6, 7, 8, 9
• Acquisitions Department Head	5
• Assistant Vice President for Academic Affairs	5
• Assistant Vice President for Sponsored Research, Grant and Contract Administration	5
• Associate Dean for Public Services	5
• Associate Dean, College of Arts and Letters	5
• Associate Dean, College of Health and Human Services	5
• Associate Dean, College of Natural Sciences and Mathematics	5
• Associate Dean, College of Business Administration	5
• Associate Dean, College of Education	5
• Associate Dean, College of Engineering and Computer Science	5
• Associate Dean, College of Social Sciences and Interdisciplinary Studies	5
• Associate Vice President and Dean for Academic Programs	5
• Associate Vice President for Academic Affairs	1, 2, 3, 4, 6, 7, 9
• Associate Vice President for Academic Affairs, Telecommunications	5
• Associate Vice President for Administration, Facilities Management	5
• Associate Vice President for Development	1, 2, 3, 4, 6, 7, 8, 9
• Associate Vice President for Finance	1, 2, 3, 4, 6, 7, 9
• Associate Vice President for Human Resources (Faculty)	5
• Associate Vice President for Human Resources (Staff)	5
• Associate Vice President for Research and Graduate Studies	5
• Associate Vice President for Student Affairs, Enrollment Management	5
• Associate Vice President for Student Affairs, Student Life	5
• Buyer	4
• CMS Associate Director	5
• Consultants	17
• Coordinator, Recreational Sports	5
• Dean, College of Arts and Letters	5
• Dean, College of Business Administration	5
• Dean, College of Continuing Education	2, 5
• Dean, College of Education	5
• Dean, College of Engineering and Computer Science	5
• Dean, College of Health and Human Services	5
• Dean, College of Natural Sciences and Mathematics	5
• Dean, College of Social Sciences and Interdisciplinary Studies	5
• Deputy Director, University Computing and Communications Services	5
• Director and Dean of the Library	5

<u>Designated Positions</u>	<u>Disclosure Categories</u>
• Director, Academic Technology and Creative Policy	5
• Director, Admissions and Outreach	5
• Director, Alumni Affairs	5
• Director, Career Center	5
• Director, Custodial and Grounds Services	5
• Director, Environmental Health and Safety	5
• Director, Equal Opportunity/Affirmative Action	5
• Director, Financial Aid	5
• Director, Health Center	5
• Director, Housing and Residence Life	5
• Director, Intercollegiate Athletics	5
• Director, Public Safety	5
• Director, Services to Students with Disabilities	5
• Director, Student Financial Services Center	5
• Director, Support Services	4
• Director, University Union	5
• Executive Assistant to the President	5
• Executive Vice President	1, 2, 3, 4, 6, 7, 9
• Pharmacist	5
• Principal Investigators	16
• Procurement and Contracts Manager	4
• Procurement Card Holder	5
• Senior Associate Dean for Technical Services and Collection Development	5
• Special Assistant to the President for Governmental Relations	1, 2, 3, 4, 6, 7, 9
• University Counsel	5
• Vice President for Academic Affairs	1, 2, 3, 4, 6, 7, 9
• Vice President for Administration	1, 2, 3, 4, 6, 7, 9
• Vice President for Capital Planning and Resource Development and Executive Director of the CSUS Foundation	1, 2, 3, 4, 6, 7, 9
• Vice President for Human Resources	5
• Vice President for Student Affairs	1, 2, 3, 5
• Vice President for University Advancement	1, 2, 3, 4, 6, 7, 8, 9

California State University, San Bernardino

Designated Positions

Disclosure Categories

• President	1, 2, 3, 4, 7, 8, 9
• Assistant Vice President, Student Affairs	5
• Associate Dean, Undergraduate Studies	5
• Associate Director, Facilities Services	5, 7
• Associate Provost, Academic Affairs	5
• Associate Provost, Academic Programs	5
• Associate Vice President and Dean, Graduate Studies	5
• Associate Vice President, Development	5
• Associate Vice President, Enrollment	5
• Associate Vice President, Financial Operations	5
• Budget Officer	5
• Consultants	17
• Dean, College of Arts and Letters	5
• Dean, College of Business and Public Administration	5
• Dean, College of Education	5
• Dean, College of Extended Learning	5
• Dean, College of Natural Sciences	5
• Dean, College of Social and Behavioral Sciences	5
• Dean, Palm Desert Campus	5
• Dean, Undergraduate Studies	5
• Director of Accounting	5
• Director of Procurement and Support Services	4, 7
• Director, Academic Computing and Media	5
• Director, Administrative Computing Services/CMS	5
• Director, Admissions and Student Recruitment	5
• Director, Alumni Affairs	5
• Director, Athletics	2, 5, 7
• Director, Capital Planning, Design and Construction	5
• Director, Career Development Center	5
• Director, Data Center Services/IRT Support Center	5
• Director, Department of Public Safety	5
• Director, Development (9)	5
• Director, Educational Opportunity Program Supportive Services	5
• Director, Facilities Services	5, 7
• Director, Financial Aid	5
• Director, Health and Psychological Counseling	5
• Director, Housing and Residential Life	2, 5, 7
• Director, Human Resources	5

Designated Positions

Disclosure Categories

• Director, Institutional Research	5
• Director, Parking Services	5
• Director, Public Affairs	3, 5
• Director, Records, Registration and Evaluations	5
• Director, Recreational Sports	5
• Director, Research and Sponsored Programs	5
• Director, Services to Students with Disabilities	5
• Director, Telecommunications and Network Services	5
• Director, Water Resource Institute	5
• Pharmacist	5
• Principal Investigators	16
• Procurement Card Holder	5
• Provost and Vice President, Academic Affairs	1, 2, 3, 5, 7
• University Librarian	5
• Vice President, Administration and Finance	1, 2, 3, 4, 7, 9
• Vice President, Information Resources Technology	1, 2, 3, 4, 7, 9
• Vice President, Student Affairs	1, 2, 3, 5, 7
• Vice President, University Advancement	1, 2, 3, 4, 7, 9

San Diego State University

Designated Positions

Disclosure Categories

• President	1, 2, 3, 4, 6, 7, 8
• Assistant Athletic Director, Director of AAF	5
• Associate Athletic Director of Development	5
• Associate Athletic Director of Marketing	5
• Associate Athletic Director of Operations	5
• Associate Athletic Director, Administration	5
• Associate Athletic Director, Compliance	5
• Associate Dean, Library Services	5
• Associate Vice President for Academic Affairs	1, 2, 3, 5, 7
• Associate Vice President for Administration	1, 2, 3, 5, 7
• Associate Vice President for Enterprise Operations	1, 2, 3, 5, 7
• Associate Vice President for Faculty Affairs	3, 5, 7
• Associate Vice President for Financial Operations	1, 2, 3, 5, 7
• Associate Vice President for Student Affairs	1, 2, 3, 5, 7
• Associate Vice President, Dean of Students	1, 2, 3, 5, 7
• Buyers	4, 6, 7, 8
• Chief Financial and Information Officer, Campanile Foundation	1, 2, 3, 5, 7
• Consultants	17
• Contracts Manager	4, 6, 7
• Controller	4, 6, 7
• Dean of Library	5
• Dean, College of Arts and Letters	5
• Dean, College of Business Administration	5
• Dean, College of Education	5
• Dean, College of Engineering	5, 7
• Dean, College of Extended Studies	2, 5
• Dean, College of Health and Human Services	5, 7
• Dean, College of Professional Studies and Fine Arts	5, 7
• Dean, College of Sciences	5, 7
• Dean, Graduate Division	5, 6, 7
• Dean, Imperial Valley Campus	1, 2, 3, 5, 7
• Dean, Undergraduate Studies	5
• Director of Athletic Equipment	5
• Director of Business Operations, Athletics	5
• Director of Marketing, Athletics	5
• Director of Media Relations, Athletics	5
• Director, Business Services	4, 6, 7
• Director, Intercollegiate Athletics	5

Designated Positions

Disclosure Categories

• Director, KPBS	5, 7
• Director, Physical Plant	5, 7
• Director, Student Health Services	5
• Head Coach, Baseball	5
• Head Coach, Football	5
• Head Coach, Men's Basketball	5
• Head Coach, Men's Golf	5
• Head Coach, Men's Soccer	5
• Head Coach, Men's Tennis	5
• Head Coach, Softball and Senior Women's Administrator	5
• Head Coach, Women's Basketball	5
• Head Coach, Women's Crew	5
• Head Coach, Women's Golf	5
• Head Coach, Women's Soccer	5
• Head Coach, Women's Swim	5
• Head Coach, Women's Tennis	5
• Head Coach, Women's Track and Field/Cross Country	5
• Head Coach, Women's Volleyball	5
• Head Coach, Women's Water Polo	5
• Manager, Communications and Computing Services	5, 7
• Manager, Contract and Procurement Management	4, 6, 7, 8
• Manager, Network Services	5, 7
• Manager, University Computer Operations	5, 7
• Members, Cabinet Budget Committee	1, 2, 3, 4, 6, 7
• Principal Investigators	16
• Procurement Card Holders	5
• Provost	1, 2, 3, 5, 6, 7
• Senior Associate Athletic Director of Marketing	5
• Sr. Associate Athletic Director	5
• Sr. Vice President for Business and Financial Affairs	1, 2, 3, 4, 6, 7
• University Architect, Facilities Planning, Design and Construction	1, 2, 3, 5, 7, 8
• Vice President for Campaign	1, 2, 3, 5, 7
• Vice President for Research	5, 6, 7
• Vice President for Student Affairs	1, 2, 3, 5, 7
• Vice President, University Advancement	1, 2, 3, 5, 7

San Francisco State University

Designated Positions

Disclosure Categories

• President	1, 2, 3, 4, 7, 8, 9
• Acquisitions Operations Coordinator, Library	5
• Assistant Director, Community Relations	5
• Assistant Procurement Officer	4, 7
• Assistant to Director, Fiscal Affairs	5
• Associate Controller, Fiscal Affairs	5, 9
• Associate Controller, Governmental Accounting	5, 9
• Associate Dean , Science and Engineering	5
• Associate Dean, College of Behavioral and Social Sciences	5
• Associate Dean, College of Business	5
• Associate Dean, College of Creative Arts	5
• Associate Dean, College of Education	5
• Associate Dean, College of Ethnic Studies	5
• Associate Dean, College of Extended Learning	5
• Associate Dean, College of Humanities	5
• Associate Dean, Faculty Development	5
• Associate Dean, Graduate Studies	5
• Associate Dean, Undergraduate Studies	5
• Associate Dean, Undergraduate Studies, Learning and Advising Services	5
• Associate Director of Development, Foundation Relations	5
• Associate Director of Development, President's Circle	5
• Associate Director of Utilities & Facilities Services & Mgmt.	5
• Associate Director, Corporate Relations	5
• Associate Director, Budget Administration and Operations	5
• Associate Director, Budget Planning	5
• Associate Director, Conference and Residential Services	5
• Associate Director, Constituent Relations	5
• Associate Director, Development	5, 9
• Associate Director, Facilities	5
• Associate Director, Government Relations	5
• Associate Director, Public Affairs & Publications	5
• Associate Director, SF Urban Institute	1, 2, 3, 4, 5, 7, 9
• Associate Director, Student Financial Aid	5
• Associate Director, Undergraduate Admissions	5
• Associate Registrar, Enrollment Planning, Management	5
• Associate Vice President for Student Affairs/Counseling and Psychological Services	5
• Associate Vice President, Academic Planning & Educational Effectiveness	1, 2, 3, 4, 5, 7, 9

Designated Positions

Disclosure Categories

• Associate Vice President, Academic Planning and Assessment	5
• Associate Vice President, Advancement and Development	5
• Associate Vice President, Capital Planning, Design and Construction	1, 3, 5, 7, 8
• Associate Vice President, Division of Information Technology	5
• Associate Vice President, Enrollment, Planning and Management	5
• Associate Vice President, Facilities and Services Enterprises	5
• Associate Vice President, Human Resources, Safety and Risk Management	5
• Associate Vice President, Research and Sponsored Programs	5
• Associate Vice President/Controller, Fiscal Affairs	5, 9
• Budget Officer, Budget Administration & Operations	5
• Business Officer Library Administration	5
• Buyers	4, 7
• Campus Planner	5, 7
• Captain, University Police	5
• Captain/Associate Director, Department of Public Safety	5
• Chief Engineer	5
• Chief, University Police	5
• Collection Access & Management Services Head	5
• Collection Acquisition Management-Library Assistant	5
• Consultants	17
• Contract Specialist	2, 7, 14
• Contracts Coordinator	4, 5
• Dean of Faculty Affairs, Professional Development	5
• Dean, College of Behavioral and Social Sciences	5
• Dean, College of Business	5
• Dean, College of Creative Arts	5
• Dean, College of Education	5
• Dean, College of Ethnic Studies	5
• Dean, College of Extended Learning	5
• Dean, College of Health and Human Services	5
• Dean, College of Humanities	5
• Dean, College of Science and Engineering	5
• Dean, Graduate Division	5
• Dean, Undergraduate Studies	5
• Director of Annual Fund-Development	5, 9
• Director of Auxiliary Business Services	4, 5, 9
• Director of Career Counseling and Development Center	5
• Director of Development/Major and Planned Gifts	5, 9

Designated Positions

Disclosure Categories

• Director of Disability Programs and Resource Services	5
• Director of Institute for Next Generation Internet	5
• Director of Procurement	4, 7
• Director of Public Affairs	5
• Director of Publications	5
• Director of Research and Sponsored Programs	5
• Director of Residential Life	5
• Director of Special Projects	5
• Director of Testing	5
• Director of University Development	5
• Director, Academic Technology	5
• Director, Academic Institutional Research	5
• Director, Admissions	5
• Director, Athletics	5
• Director, Audio-Visual, ITV Center	5
• Director, Benefits & Risk Management	5
• Director, Business Graduate Program	5
• Director, CA Technical Services, Creative Arts	5, 7
• Director, Campus Assets & Space Management	1, 3, 5, 7, 8
• Director, Conference and Residential Services	4, 5
• Director, Design & Construction	1, 3, 5, 7, 8
• Director, Educational Opportunity Program	5
• Director, Employee Relations	5
• Director, Environmental Health and Occupational Safety	5
• Director, Financial Aids	5
• Director, Fiscal Affairs Business Systems	5, 9
• Director, Government Relations	5
• Director, Grounds and Fleet Operations	5
• Director, Health Equity Initiatives	5
• Director, HSS College Operations	5
• Director, International Studies and Programs	5
• Director, Network and Communications	5
• Director, Network and Operations Services	5
• Director, PF Romberg Tiburon Center	5
• Director, Projects and Information Systems	5
• Director, Strategic Technology Architecture	5
• Director, Student Administration Collaborative	5
• Director, Student Health Services	5

<u>Designated Positions</u>	<u>Disclosure Categories</u>
• Director, Student Outreach Services	5
• Director, Student Program/Leadership Development	5
• Director, Student Systems and Development	5
• Director, Undergraduate Admissions	5
• Director, University Budget and Planning	5
• Executive Assistant to Vice President Student Affairs/Dean of Students	5
• Executive Assistant to VP, Administration & Finance	5
• Executive Assistant, Administration & Fiscal Affairs	5
• Executive Director, California Campus Compact	5
• Executive Director, Division of Information Technology	5
• Executive Director, Housing and Residential Services	5
• Executive Director, International Center for the Arts	5
• Executive Director, Operations, Science	5, 7
• Executive Director, Urban Institute	5
• Executive/Program Director of Head Start	5
• Facilities Coordinator, Facilities & Service Enterprises	5, 7
• Fiscal Services Manager	5
• Information Security Officer	5
• Internal Auditor	2, 4, 9
• Library Acquisitions Operations Coordinator	5
• Library Assistant - Collection Acquisition Management	5
• Lieutenant, Department of Public Safety (DPS)	5
• Maintenance Superintendent	5
• Manager, Accounts Payable and Collections	5
• Manager, Development Support Services	5
• Manager, Employee Relations	5
• Manager, Faculty Personnel/HRIS	5
• Manager, Professional Development	5
• Managing Director, CEL Downtown Center	5
• Payroll Manager	5
• Personnel Manager, ORSP	5
• Principal Investigators	16
• Procurement Card Coordinator	5
• Procurement Card Holder/Approving Officer	5
• Procurement Systems Analyst	5
• Program Manager, SF Bay National Estuarine Research Reserve	5
• Registrar	5
• Staff Assistant to the President	5

Designated Positions

Disclosure Categories

• Unit Head - Periodicals/Microforms	5
• University Controller	5
• University Legal Counsel	1, 2, 3, 4, 6, 8, 9, 14
• University Librarian	5
• Vice President for Academic Affairs/Provost	1, 2, 3, 4, 5, 7, 9
• Vice President, Administration and Finance	1, 2, 3, 4, 5, 7, 9
• Vice President, Student Affairs/Dean of Students	1, 2, 3, 4, 5, 7, 9
• Vice President, University Advancement	5

San Jose State University

Designated Positions

Disclosure Categories

• President	1, 2, 3, 4, 7, 8, 9
• Assistant Athletic Director, Chief Financial Officer	3, 5
• Associate Dean, Library	5
• Associate Director, Facilities Management	5, 7, 8
• Associate Vice President Enrollment Services	5
• Associate Vice President, Academic Technology	5
• Associate Vice President, Computing & Telecommunication	5
• Associate Vice President, Facilities Development and Operations	1, 2, 3, 4, 5, 7, 8
• Associate Vice President, Financial & Administrative Program Planning	2, 3, 4, 5, 9
• Associate Vice President, Graduate Studies and Research	5
• Business Service Manager	2, 3, 4, 5, 9
• Buyer	2, 3, 4, 5
• Chief of Police	5
• Consultants	17
• Contracts Analyst	2, 3, 4, 5
• Dean College of Humanities and the Arts	5
• Dean, College of Applied Sciences and Arts	4, 5
• Dean, College of Business	5
• Dean, College of Education	5
• Dean, College of Engineering	5
• Dean, College of Science	5
• Dean, College of Social Science	5
• Dean, College of Social Work	5
• Dean, International & Extended Studies	5
• Dean, Library	5
• Director of Accounting Systems and Technology	3, 4, 5
• Director of Housing	5
• Director of Student Health Services	5
• Director, Division of Intercollegiate Athletics	3, 5
• Director, Facilities Development and Operations	5, 7, 8
• Director, Procurement Services	2, 3, 4, 5, 6, 7, 8
• Manager of Accounting/Costing	9
• Principal Investigators	16
• Procurement Analyst	2, 3, 4, 5, 6
• Purchasing Manager	2, 3, 4, 5, 7, 8
• Senior Associate Director, External Operations	3, 5
• Senior Associate Director, Internal Operations	3, 5
• Vice President, Academic Affairs	1, 2, 3, 4, 7, 9

Designated Positions

- Vice President, Administration and Finance
- Vice President, Student Affairs
- Vice President, University Advancement

Disclosure Categories

1, 2, 3, 4, 7, 9
3, 5
3, 5

California Polytechnic State University, San Luis Obispo

Designated Positions

Disclosure Categories

• President	1, 2, 3, 4, 6, 7, 8, 9
• Animal Science Department Head	5, 6
• Assistant Dean of Advancement and External Relations	1, 2, 3, 4, 6, 7, 9
• Assistant Director of Facility Services - Custodial	5
• Assistant Director of Facility Services - Engineering and Plumbing	5
• Assistant Director of Facility Services - Landscape and Transportation	5
• Assistant Director of Housing and Business Services	5
• Assistant Vice President for Administration & Finance	1, 2, 3, 4, 5, 7, 9
• Assistant Vice President for Admissions, Recruitment & Financial Aid	5
• Assistant Vice Provost for Systems & Resource Management	5
• Associate Athletics Director, Advancement	1, 2, 3, 4, 6, 7, 9
• Associate Dean and Graduate Coordinator for the College of Agriculture	5, 6
• Associate Dean of the College of Agriculture	5, 6
• Associate Dean of the College of Architecture and Environmental Design	5
• Associate Dean of the College of Education	5
• Associate Dean of the College of Engineering - Administration and Planning	5
• Associate Dean of the College of Engineering - Curriculum and Student Affairs	5
• Associate Dean of the College of Liberal Arts	5
• Associate Dean of the College of Science and Mathematics	5
• Associate Dean of the Orfalea College of Business	5
• Associate Director of Facilities Planning and Capital Projects	1, 2, 3, 4, 7
• Associate Director of Facility Services	4
• Associate Planner	1, 2, 3, 4, 7
• Associate Vice President for Academic Personnel	5
• Associate Vice President for Administration	5
• Associate Vice President for Finance	4, 5, 7
• Associate Vice President for Student Affairs	5
• Associate Vice President for University Advancement	1, 2, 3, 4, 6, 7, 9
• Buyer I	4
• Buyer II	4
• Buyer III	4
• Buyer III - Lead	4
• Construction Inspector	4, 7, 8
• Consultants	17
• Contract Administration Manager	1, 2, 3, 4, 7
• Contracts Manager	4, 5, 7
• Dean of Cal Poly Continuing Education	5
• Dean of Library Services	5

<u>Designated Positions</u>	<u>Disclosure Categories</u>
• Dean of Research and Graduate Programs	5
• Dean of Students	1, 3
• Dean of the College of Agriculture	5, 6
• Dean of the College of Architecture and Environmental Design	5
• Dean of the College of Education	5
• Dean of the College of Engineering	5
• Dean of the College of Liberal Arts	5
• Dean of the College of Science and Mathematics	5
• Dean of the Orfalea College of Business	5
• Director of Advancement and College Relations for the College of Liberal Arts	1, 2, 3, 4, 6, 7, 9
• Director of Advancement for Library Services/College of Education	1, 2, 3, 4, 6, 7, 9
• Director of Advancement for the College of Science and Mathematics	1, 2, 3, 4, 6, 7, 9
• Director of Advancement for the Orfalea College of Business	1, 2, 3, 4, 6, 7, 9
• Director of Advancement Programs	1, 2, 3, 4, 6, 7, 9
• Director of Advancement Services	1, 2, 3, 4, 6, 7, 9
• Director of Advancement, Alumni & External Relations for the CAED	1, 2, 3, 4, 6, 7, 9
• Director of Alumni Relations	1, 2, 3, 4, 6, 7, 9
• Director of Application and Information Management	5
• Director of Cal Poly Arts	5
• Director of Cal Poly Continuing Education	5
• Director of Cal Poly Fund	1, 2, 3, 4, 6, 7, 9
• Director of Campus Student Relations and Judicial Affairs	5
• Director of Career Services and Testing Services	1, 2, 3, 5
• Director of Communications and Computing Services	5
• Director of Contract and Procurement Services	4, 7
• Director of Corporate and Foundation Relations	1, 2, 3, 4, 6, 7, 9
• Director of Corporate Relations	1, 2, 3, 4, 6, 7, 9
• Director of Disability Resource Center	4
• Director of Donor Relations for the College of Engineering	1, 2, 3, 4, 6, 7, 9
• Director of Employment Equity & Faculty Recruitment	5
• Director of Facilities Planning and Capital Project	1, 2, 3, 4, 7
• Director of Facility Services	4
• Director of Financial Aid	5
• Director of Fiscal Services	5
• Director of Grants Development for Research and Graduate Programs	5
• Director of Health and Counseling Services	5
• Director of Housing and Residential Life	3
• Director of Human Resources	5

Designated Positions

Disclosure Categories

• Director of Intercollegiate Athletics	5
• Director of Planned Giving and Endowments	1, 2, 3, 4, 6, 7, 9
• Director of Public Affairs	5
• Director of Student Academic Services	5
• Director of Student Life and Leadership	5
• Director of Swanton Pacific for the College of Agriculture	5
• Director of Technology Services for Administration and Finance	5
• Director of User Support Services	5
• Director, Budget & Analytic Business Services	4, 5
• Executive Assistant to the President	5
• Executive Director of the Cal Poly Foundation	1, 2, 3, 5, 6, 7, 8, 9
• Executive Vice Provost and Chief Planning Officer	1, 2, 3, 4, 5, 7
• Head Coach - Football	5
• Head Coach - Men's Basketball	5
• Head Coach - Women's Basketball	5
• Head of Counseling Services	5
• Horticulture and Crop Science Department Head	5
• Livestock Production Manager - Beef Unit	5
• Livestock Production Manager - Sheep Unit	5
• Livestock Production Manager - Swine Unit	5
• Manager of Energy and Utilities	4
• Manager of Marine Science Education and Research Center	5
• Managing Director of the Performing Arts Center	5
• Pharmacist In-Charge	5
• Poultry Operations Advisor	5
• Poultry Technician	5
• Principal Investigators	16
• Procurement Manager	4, 7
• Project Manager	4, 7, 8
• Provost and Vice President for Academic Affairs	1, 3
• Risk Manager	4
• Senior Associate Director of Intercollegiate Athletics	5
• Supervisor of Farm Operations	5
• Supervisor of the Equine Center	5
• University Legal Counsel	5
• University Police Chief	5
• Vice President for Administration and Finance	1, 2, 3, 4, 9
• Vice President for Student Affairs	1, 3

Designated Positions

- Vice President of University Advancement
- Vice Provost for Academic Programs and Undergraduate Education
- Vice Provost for Information Technology/Chief Information Officer

Disclosure Categories

1, 2, 3, 4, 6, 7, 9
5
5

California State University, San Marcos

<u>Designated Positions</u>	<u>Disclosure Categories</u>
• President	1, 2, 3, 4, 6, 7, 8
• Assistant Director of Architecture	3, 5, 7, 8
• Assistant Director of Construction	5, 7
• Assistant Director of Facility Services	5, 7
• Assistant Director of Parking Services	5
• Assistant Director, Engineering & Energy Services	5
• Assistant Director, Field House/University Student Union	5
• Assistant to the Dean, Library and Information Services	5
• Assistant Vice President, Human Resources & Equal Opportunity	5
• Associate Dean of Business Administration	5
• Associate Dean of Education	5
• Associate Dean of Instruction and Academic Programs, COAS	5
• Associate Dean, Budget and Operations, COAS	5
• Associate Director of Human Resources and Equal Opportunity	5
• Associate Vice President for Enrollment Management Services	5
• Associate Vice President for Research and International Programs and Dean of Graduate Studies	5
• Associate Vice President for Strategic Planning and Assessment	5
• Associate Vice President of Student Affairs and Dean of Students	5
• Associate Vice President, Finance and Business Services	1, 2, 3, 4, 7, 9
• Associate Vice President, Human Relations and Campus Enterprises	5
• Associate Vice President, Resource Management - Finance and Administrative Services	5
• Associate Vice President, Student Academic Support Services	5
• Associate Vice President, University Advancement	5
• Associate VPAA, Academic Programs	5
• Associate VPAA, Academic Resources	5
• Benefits Manager, Human Resources and Equal Opportunity	5
• Buyer, Procurement Services	5
• Chief of Police	5
• CMS Program Director, Finance	5, 12
• Coaches	5
• Consultants	17
• Coordinator, Commodities/AP/Material Management	5
• Coordinator, Contracts and Construction	5, 7
• Dean, Arts and Sciences	5
• Dean, Business Administration	5
• Dean, Education	5

<u>Designated Positions</u>	<u>Disclosure Categories</u>
• Dean, Extended Studies	5
• Dean, Instructional and Information Technology	5
• Dean, Library and Information Services	5
• Director of Institutional Planning	5
• Director of Legislative Affairs/Special Assistant to the President	5
• Director of Outreach and Development, College of Business Administration	5
• Director of Outreach and Development, College of Education	5
• Director of Outreach and Development, College of Health and Human Services	5
• Director of Social and Behavioral Research Institute	5
• Director of Strategic Planning, Finance and Administrative Services	5
• Director of Systems Development and Operations	5
• Director of University Outreach and Recruitment	5
• Director, Academic Technology Services	5
• Director, Admissions	5
• Director, Advising College of Arts and Sciences	5
• Director, Barahona Center for the Study of Books in Spanish	5
• Director, Budget Office	5
• Director, Campus Enterprises	5
• Director, Career and Assessment Center	5
• Director, Center ARTES	5
• Director, Clarke Field House/University Student Union	5
• Director, Communications	5
• Director, Community Service Learning	5
• Director, Development Operations and Annual Giving	5
• Director, Disabled Student Services	5
• Director, Facility Services	5, 7
• Director, Financial Aid and Scholarship Office	5
• Director, Global Affairs	5
• Director, Health and Human Services	5
• Director, Learning Assistance Services/Educational Opportunity Programs	5
• Director, Payroll Services	5
• Director, Planning Design and Construction	2, 3, 5, 7
• Director, Procurement Services	2, 3, 5, 7
• Director, Registration and Records	5
• Director, Risk Management and Safety	5
• Director, Southwest Riverside County Project	5
• Director, Student Financial Services	5
• Director, Student Health Services	5

Designated Positions

Disclosure Categories

• Director, Student Life and Leadership	5
• Director, Systems Development and Software Engineering; Campus CMS Project Director	5
• Director, Telecommunications and Network Operations	5
• Emergency Management Coordinator	5
• Executive Assistant to the President	5
• Executive Director, CSUSM Foundation	3, 4, 7, 9
• Executive Director, Enrollment Services	5
• Executive Director, Institute for Executive Development	5
• Human Resources Manager	5
• Lieutenant, University Police	5
• Manager of Operations, MBA Program	5
• Principal Investigators	16
• ProCard Holders	5
• Project Manager, Planning Design and Construction	5
• Provost	1, 2, 3, 4, 7, 9
• Risk Manager	5
• Senior Director of Development, Office of University Advancement	5
• Senior Director, Health Counseling and Disability Services	5
• Supervisor of Building Trades	5
• University Controller	1, 2, 3, 4, 5, 6, 7
• Vice President, Finance and Administrative Services	1, 2, 3, 4, 7, 9
• Vice President, Student Affairs	1, 2, 3, 4, 5, 6, 7
• Vice President, University Advancement	1, 2, 3, 5, 7

Sonoma State University

Designated Positions

Disclosure Categories

• Accounting Administrator	5
• Administrative Manager for Enrollment and Student Academic Services	5
• Administrative Manager for the Northwest Information Center	5
• Administrative Manager, School of Arts and Humanities	5
• Administrative Manager, School of Business and Economics	5
• Administrative Manager, School of Education	5
• Administrative Manager, School of Science and Technology	5
• Administrative Manager, School of Social Sciences	5
• ASC Associate Director	5
• Assistant Controller - Auxiliaries	1, 2, 3, 4, 5, 7, 9
• Assistant Controller - Grants and Contracts	1, 2, 3, 4, 5, 7, 9
• Assistant Director - Environmental Technology Center	5
• Assistant Project Director - CIHS	5
• Assistant to Athletic Director	5
• Assistant Vice President for Student Affairs	5
• Assistant Vice President for Student Affairs and Enrollment Management	5
• Associate Athletic Director/Compliance Coordinator	5
• Associate Director of Housing Services	5
• Associate Director of Student Development	5
• Associate Director, University Dining Services	5
• Associate Vice President for Administration and Finance/Controller	1, 2, 3, 4, 5, 7, 9
• Associate Vice President for Communications and Marketing	1, 2, 3, 4, 7
• Associate Vice President for Development	5
• Associate Vice President of Academic Resources	5
• Associate Vice President, Research and Sponsored Programs	5
• Business Manager, Extended Education	5, 9
• Business Services Manager - ASC	5
• Buyer II	4, 5
• Buyer III	4
• Chief Information Officer	5
• Coach	5
• Construction and Operations Manager	4, 5
• Consultants	17
• Credit Card Procurement Cardholders	5
• Dean, School of Arts and Humanities	5
• Dean, School of Business and Economics	5
• Dean, School of Education	5
• Dean, School of Extended Education	5, 9

Designated Positions**Disclosure Categories**

• Dean, School of Science and Technology	5
• Dean, School of Social Sciences	5
• Dean, University Library	5
• Deputy Chief for Police Services	5
• Deputy Controller - Accounts Receivable, Cashiering and Student Finance	1, 2, 3, 4, 5, 7, 9
• Deputy Controller - General Ledger Accounting	1, 2, 3, 4, 5, 7, 9
• Deputy Controller - Purchasing, Contracts and Accounts Payable	1, 2, 3, 4, 5, 7, 9
• Dining Services Manager II - Ameci's	5
• Dining Services Manager II - Schultz Café	5
• Dining Services Manager II - Zinfandel	5
• Director of Academic Services - Pre-College	5
• Director of Academic Talent Search Program	5
• Director of Administrative Information Systems	5
• Director of Admissions and Recruitment	5
• Director of Athletics	5
• Director of Business Services - CIHS	5
• Director of Campus Life and Leadership	5
• Director of Computer Operations/Technology Architect	5
• Director of Conferences, Events and Catering	5
• Director of Energy Sustainability/Project Engineer	1, 7
• Director of Environmental Health and Safety	5
• Director of Financial Aid	5
• Director of General Services	5
• Director of Housekeeping	5
• Director of Housing	5
• Director of Internal Operations, Analysis and Review	1, 2, 3, 7, 9
• Director of Landscaping	5
• Director of Learning Skills Services and Tutorial Center	5
• Director of Library Operations	5
• Director of Library Technology	5
• Director of Marketing and Quality Assurance	5
• Director of Operations/Engineering	4
• Director of Publications	5
• Director of Retail Services	5
• Director of the Office of Research and Sponsored Programs	5
• Director of Workstation Security and Services	5
• Director, Children's School	5
• Director, Counseling and Psychological Services	5

Designated Positions**Disclosure Categories**

• Director, Instructional Technology Services	5
• Director, Network Security and Communications Services	5
• Director, University Dining Services	5
• Director, Upward Bound Programs	5
• Executive Chef	5
• Executive Director of Lifelong Learning Institute	5
• Executive Director of the Center for Performing Arts and Green Music Center	5
• Executive Director of University Support and Preparation Services	5
• Fairfield Osborn Preserve Manager	5
• Gear Up Project Director	5
• Grants Manager	1, 2, 3, 4, 5, 7, 9
• Infrastructure Support Director - CIHS	5
• Lead Buyer	4
• Librarian	5
• Manager of New Media Development	5
• Managing Director of Advising, Career and EOP Services	1, 3, 5
• Managing Director of Employee Relations and Compliance Services	5
• Managing Director of Employee Services	5
• Marketing Director	4, 5
• Medical Director of the Student Health Center	5
• Operations Manager - CIHS	5
• Police Captain for Emergency Preparedness and Special Projects	5
• President	1, 2, 3, 4, 7, 8, 9
• Principal Investigators	16
• Program Director - CIHS	5
• Program Manager, Extended Education	5
• Program Manager, Physics and Astronomy, Special Projects	5
• Project Director - CIHS	5
• Project Director - PreCollege Programs	5
• Project Director - School of Education, Special Projects	5
• Project Manager	1, 7
• Project Manager - CIHS	5
• Provost, Vice President for Academic Affairs, and Chief Academic Officer	1, 3, 4, 5, 7, 9
• Publications Manager - CIHS	5
• Purchasing Coordinator	4, 5, 7
• Purchasing Manager	1, 2, 3, 4, 5, 7, 9
• Senior Accountant	5
• Senior Director for Entrepreneurial Services	5

Designated Positions

Disclosure Categories

• Senior Director for Facilities Services	4
• Senior Director for Human Services	5
• Senior Director for Police and Parking Services/Chief of Police	5
• Senior Director for University Business Services	5
• Senior Director of Risk Management	5
• Senior Director of the California Institute on Human Services	5
• Senior Director, Capital Planning, Design and Construction	1, 2, 3, 4, 5, 7, 9
• Senior Director, CMS	4, 5
• Senior Director, University Budget	1, 2, 3, 4, 5, 7, 9
• SSALI Director	5
• Technology Manager - CIHS	5
• University Registrar	5
• University Treasurer	1, 2, 3, 4, 5, 7, 9
• Vice President for Administration and Finance, and Chief Financial Officer	1, 2, 3, 4, 7, 9
• Vice President for Development	1, 2, 3, 4, 5, 7, 9
• Vice President for Student Affairs and Enrollment Management	1, 2, 3, 4, 5, 7, 9
• Vice President for University Affairs	1, 2, 3, 4, 7
• Vice Provost, Academic Affairs	5

California State University, Stanislaus

<u>Designated Positions</u>	<u>Disclosure Categories</u>
• Accounting & Finance Manager	5
• Assistant Director of Housing and Residential Life	2, 5
• Assistant Vice President for Facilities Services	1, 2, 3, 4, 5, 7
• Assistant Vice President for University Advancement	5
• Assistant Vice President, Financial Services	4, 5, 7, 9
• Associate Dean, College of Arts, Letters and Sciences	5
• Associate Vice President for Information Technology	3, 4, 5
• Associate Vice President, Enrollment Management	5
• Associate Vice President, Faculty Affairs	5
• Associate Vice President, Student Affairs/Dean of Students	5
• Buyer	4, 7
• Chief of Staff to the President	5
• CMS Project Director	4, 5
• Construction & Building Inspection Manager	5, 7
• Consultants	17
• Coordinator, Disabled Student Services	5
• Custodial and Special Events Manager	5
• Dean of Admissions and Records	5
• Dean of Library Services	5
• Dean, College of Arts, Letters and Sciences	5
• Dean, College of Business Administration	5
• Dean, College of Education	5
• Dean, CSU Stanislaus - Stockton	5
• Director of Design and Construction	1, 2, 3, 5, 7
• Director of Facilities Maintenance and Operations	5, 7
• Director of Facilities Planning and Finance	5, 7
• Director of Network and Communication Services	4, 5, 7
• Director of Student Leadership and Development	5
• Director of the CSU Stanislaus - Stockton Center	5
• Director, Administrative Technology Support	5
• Director, Advancement	5
• Director, Advancement Services	5
• Director, Alumni Relations	5
• Director, Athletics	5
• Director, Career Services	5
• Director, Community Relations	5
• Director, Corporate and Foundation Relations	5
• Director, Counseling	5

<u>Designated Positions</u>	<u>Disclosure Categories</u>
• Director, Financial Aid & Scholarships	5
• Director, First Year Programs & Advising	5
• Director, Graduate School	5
• Director, Housing & Residential Life	5
• Director, Human Resources	5
• Director, Major Gifts, Planned Giving and Donor Relations	5
• Director, Mediated & Distance Learning	5
• Director, Office of Global Affairs	5
• Director, Procurement Services	4, 7
• Director, Public Safety	5
• Director, Research and Sponsored Programs	5
• Director, Student Health Center	5
• Director, University Communications	5
• Director, University Extended Education	5
• Energy Management Engineer	1, 2, 3, 5, 7
• Executive Assistant to the Vice President for Business & Finance	2, 3, 5
• Executive Assistant to the Vice President Student Affairs	5
• Landscape & Transportation Manager	5
• Lieutenant	5
• President	1, 2, 3, 4, 7, 8, 9
• Principal Investigators	16
• ProCard Approving Official	5
• Project Architect	1, 2, 3, 5, 7
• Provost/Vice President, Academic Affairs	1, 2, 3, 4, 5
• Senior Director, Retention Services and EOP	5
• Support Services Supervisor	5
• Vice President for Business and Finance	1, 2, 3, 4, 5, 7, 9
• Vice President for Student Affairs	1, 2, 3, 4, 5
• Vice President for University Advancement	1, 2, 3, 4, 5
• Vice Provost and Associate Vice President for Assessment and Quality Assurance	5



2010/2011 Statement of Economic Interests

Form 700

A Public Document

Also available on the FPPC website:

- *Form 700 Reference Pamphlet*
- *Form 700 in Excel format*

California Fair Political Practices Commission

428 J Street, Suite 620 • Sacramento, CA 95814

Toll-free advice line: 1 (866) ASK-FPPC • (866) 275-3772

Telephone: (916) 322-5660 • Website: www.fppc.ca.gov

What's New

Gifts to Family Members The Fair Political Practices Commission recently revised Regulation 18944 which addresses gifts to family members of public officials and designated employees.

All officials: Gifts given to family members of local and state public officials and designated employees for such expenses as housing, food, health costs, or for a television, automobile, or college tuition may be considered a gift to the official subject to reporting and limits.

87200 filers: Gifts such as a round of golf, spa treatment or tickets to an event given to a family member of a Section 87200 official may be considered a gift to the official subject to reporting and limits under certain circumstances. Such circumstances include when the donor of the gift has business before the official's agency and the donor and family member have no working, social or similar relationship.

Who must file:

- Elected and appointed officials and candidates listed in Government Code Section 87200
- Employees and appointed officials filing pursuant to a conflict-of-interest code ("code filers"). **Obtain your disclosure categories, which describe the interests you must report, from your agency;** they are not part of the Form 700
- Candidates running for local elective offices that are designated in a conflict-of-interest code (e.g., county sheriffs, city clerks, school board trustees, and water board members)
- Members of newly created boards and commissions not yet covered under a conflict-of-interest code
- Employees in newly created positions of existing agencies

See Reference Pamphlet, pages 2 and 3, at www.fppc.ca.gov or obtain from your filing officer.

Where to file:

87200 Filers

State offices	➔	Your agency
Judicial offices	➔	The clerk of your court
Retired Judges	➔	Directly with FPPC
County offices	➔	Your county filing official
City offices	➔	Your city clerk
Multi-County offices	➔	Your agency

Code Filers — State and Local Officials and Employees Designated in a Conflict-of-Interest Code:

File with your agency, board, or commission unless otherwise specified in your agency's conflict-of-interest code (e.g.,

Legislative staff files directly with FPPC). In most cases, the agency, board, or commission will retain the statements.

Members of Boards and Commissions of Newly Created Agencies: File with your newly created agency or with your agency's code reviewing body.

Employees in Newly Created Positions of Existing Agencies: File with your agency or with your agency's code reviewing body. See Reference Pamphlet, page 4.

Candidates: File with your local elections office.

How to file:

The Form 700 is available at www.fppc.ca.gov. Form 700 schedules are also available in Excel format. All statements must have an original "wet" signature. Instructions, examples, FAQs, and a reference pamphlet are available to help answer your questions.

When to file:

Annual Statements

➔ March 1, 2011

- Elected State Officers
- Judges and Court Commissioners
- State Board and Commission Members listed in Government Code Section 87200

➔ April 1, 2011

- Most other filers

Individuals filing under conflict-of-interest codes in city and county jurisdictions should verify the annual filing date with their local filing officers.

Statements postmarked by the filing deadline are considered filed on time.

Assuming, Leaving, and Initial Statements

Most filers file within 30 days of assuming or leaving office or within 30 days of the effective date of a newly adopted or amended conflict-of-interest code. See Reference Pamphlet, pages 5 and 6, for exceptions.

Candidate Statements

File no later than the final filing date for the declaration of candidacy or nomination documents.

Amendments

Statements may be amended at any time. You are only required to amend the schedule that needs to be revised. It is not necessary to amend the entire filed form. Obtain amendment schedules at www.fppc.ca.gov.

There is no provision for filing deadline extensions.

Statements of 30 pages or less may be faxed by the deadline as long as the originally signed paper version is sent by first class mail to the filing official within 24 hours.

INTRODUCTION

The Political Reform Act (Gov. Code Sections 81000-91014) requires most state and local government officials and employees to publicly disclose their personal assets and income. They also must disqualify themselves from participating in decisions that may affect their personal economic interests. The Fair Political Practices Commission (FPPC) is the state agency responsible for issuing the attached Statement of Economic Interests, Form 700, and for interpreting the law's provisions.

Gift Prohibition

Gifts received by most state and local officials, employees, and candidates are subject to a limit. For 2010-2011, the gift limit remains at \$420 from a single source during a calendar year. This gift limit is effective until December 31, 2012.

In addition, state officials, state candidates, and certain state employees are subject to a \$10 limit per calendar month on gifts from lobbyists and lobbying firms registered with the Secretary of State. See Reference Pamphlet, page 9.

State and local officials and employees should also check with their agency to determine if any other restrictions apply.

Honorarium Ban

Most state and local officials, employees, and candidates are prohibited from accepting an honorarium for any speech given, article published, or attendance at a conference, convention, meeting, or like gathering. See Reference Pamphlet, page 10.

Loan Restrictions

Certain state and local officials are subject to restrictions on loans. See Reference Pamphlet, page 13.

Disqualification

Public officials are, under certain circumstances, required to disqualify themselves from making, participating in, or attempting to influence governmental decisions that will affect their economic interests. This may include interests they are not required to disclose (i.e., a personal residence is often not reportable, but may be disqualifying). Specific disqualification requirements apply to 87200 filers (e.g., city councilmembers, members of boards of supervisors and planning commissioners). These officials must identify orally the economic interest that creates a conflict of interest and leave the room before a discussion or vote takes place at a public meeting. For more information, consult Government Code Section 87105, Regulation 18702.5, and the Overview of the Conflict of Interest Laws at www.fppc.ca.gov.

Post-Governmental Employment

There are restrictions on representing clients or employers before former agencies. The provisions apply to elected state officials, most state employees, local elected officials, county chief administrative officers, city managers, including the chief administrator of a city, and general managers or chief administrators of local special districts and JPAs. The FPPC website has fact sheets explaining the provisions.

Late Filing

The filing officer who retains originally-signed statements of economic interests may impose on an individual a fine for any statement that is filed late. The fine is \$10 per day up to a maximum of \$100. Late filing penalties may be reduced or waived under certain circumstances.

Persons who fail to timely file their Form 700 may be referred to the FPPC's Enforcement Division (and, in some cases, to the Attorney General or district attorney) for investigation and possible prosecution. In addition to the late filing penalties, a fine of up to \$5,000 per violation may be imposed.

For assistance concerning reporting, prohibitions, and restrictions under the Act:

- Call the FPPC toll-free at (866) 275-3772.
- See the booklet entitled "Your Duty to File: A Basic Overview of State Economic Disclosure Law and Reporting Requirements for Public Officials."

Form 700 Public Access

Statements of Economic Interests are public documents. The filing officer must permit any member of the public to inspect and copy any statement.

- Statements must be available as soon as possible during the agency's regular business hours, but in any event not later than the second business day after the statement is received.
- No conditions may be placed on persons seeking access to the forms.
- No information or identification may be required from persons seeking access.
- Reproduction fees of no more than 10 cents per page may be charged.

INSTRUCTIONS — COVER PAGE

Enter your name, mailing address, and daytime telephone number in the spaces provided. **Because the Form 700 is a public document**, you may list your business/office address instead of your home address.

Part 1. Office, Agency, or Court

- Enter the name of the office sought or held, or the agency or court. Consultants must enter the public agency name rather than their private firm's name. (Examples: State Assembly; Board of Supervisors; Office of the Mayor; Department of Finance; Hope County Superior Court)
- Indicate the name of your division, board, or district, if applicable. (Examples: Division of Waste Management; Board of Accountancy; District 45)
- Enter your position title. (Examples: Director; Chief Counsel; City Council Member; Staff Services Analyst)
- If you hold multiple positions (i.e., a city council member who also is a member of a county board or commission), you may be required to file statements with each agency. To simplify your filing obligations, you may complete an expanded statement.

To do this, enter the name of the other agency(ies) with which you are required to file and your position title(s) in the space provided. Attach an additional sheet if necessary. Complete one statement covering the disclosure requirements for all positions. Each copy must contain an original signature. Therefore, before signing the statement, make a copy for each agency. Sign each copy with an original signature and file with each agency.

Example:

Scott Baker is a city council member for the city of Lincoln. Scott is also a board member for the Camp Far West Irrigation District – a multi-county agency that covers Placer and Yuba counties. Scott will complete one Form 700 using full disclosure (as required for the city position) and covering interests in both Placer and Yuba counties (as required for the multi-county position) and list both positions on the Cover Page. Before signing the statement, Scott will make a copy and sign both statements. One statement will be filed with City of Lincoln and the other will be filed with Camp Far West Irrigation District. Both will contain an original signature.

Remember that if you assume or leave a position after a filing deadline, you must complete a separate statement. For example, a city council member who assumes a position with a county special district after the April 1 annual filing deadline must file a separate assuming office statement. In subsequent years, the city council member may expand his or her annual filing to include both positions.

Part 2. Jurisdiction of Office

- Check the box indicating the jurisdiction of your agency and, if applicable, identify the jurisdiction. Judges, judicial candidates, and court commissioners have statewide jurisdiction. All other filers should review the Reference Pamphlet, page 12, to determine their jurisdiction.

- If your agency is a multi-county office, list each county in which your agency has jurisdiction.
- If your agency is not a state office, court, county office, city office, or multi-county office (e.g., school districts, special districts and JPAs), check the "other" box and enter the county or city in which the agency has jurisdiction.

1. Office, Agency, or Court
Name of Office, Agency, or Court: South Sutter Water District
Division, Board, District, if applicable:
Your Position: Board member
▶ If filing for multiple positions, list additional agency(ies)/ position(s): (Attach a separate sheet if necessary.)
Agency: _____
Position: _____
2. Jurisdiction of Office (Check at least one box)
<input type="checkbox"/> State
<input type="checkbox"/> County of _____
<input type="checkbox"/> City of _____
<input type="checkbox"/> Multi-County
<input checked="" type="checkbox"/> Other Portions of Yuba & Sutter Counties

Example:

This filer is a member of a water district board with jurisdiction in portions of Yuba and Sutter Counties.

Part 3. Type of Statement

Check at least one box. The period covered by a statement is determined by the type of statement you are filing. If you are completing a 2010 Annual Statement, **do not** change the pre-printed dates to reflect 2011. Your annual statement is used for reporting the previous year's economic interests. Economic interests for your annual filing covering January 1, 2010, through December 31, 2010, will be disclosed on your statement filed in 2011. See Reference Pamphlet, page 3.

Combining Statements: Certain types of statements may be combined. For example, if you leave office after January 1, but before the deadline for filing your annual statement, you may combine your annual and leaving office statements. File by the earliest deadline. Consult your filing officer or the FPPC.

Part 4. Schedule Summary

- Enter the total number of completed pages including the cover page and either:

Check the box for each schedule you use to disclose interests;

- or -

if you have nothing to disclose on any schedule, check the "No reportable interests" box. Please **do not** attach any blank schedules.

Part 5. Verification

Complete the verification by signing the statement and entering the date signed. **When you sign your statement, you are stating, under penalty of perjury, that it is true and correct.** Only the filer has authority to sign the statement. An unsigned statement is not considered filed and you may be subject to late filing penalties.

COVER PAGE

Please type or print in ink.

NAME OF FILER (LAST) (FIRST) (MIDDLE)

1. Office, Agency, or Court

Agency Name _____

Division, Board, Department, District, if applicable _____ Your Position _____

► If filing for multiple positions, list below or on an attachment.

Agency: _____ Position: _____

2. Jurisdiction of Office (Check at least one box)

- State Judge (Statewide Jurisdiction)
- Multi-County _____ County of _____
- City of _____ Other _____

3. Type of Statement (Check at least one box)

- Annual:** The period covered is January 1, 2010, through December 31, 2010. **-or-** **Leaving Office:** Date Left ____/____/____
The period covered is ____/____/____, through December 31, 2010. (Check one)
- Assuming Office:** Date ____/____/____ The period covered is January 1, 2010, through the date of leaving office.
- Candidate:** Election Year _____ Office sought, if different than Part 1: _____ The period covered is ____/____/____, through the date of leaving office.

4. Schedule Summary

- Check applicable schedules or "None." ► Total number of pages including this cover page: _____
- Schedule A-1 - Investments** – schedule attached **Schedule C - Income, Loans, & Business Positions** – schedule attached
 - Schedule A-2 - Investments** – schedule attached **Schedule D - Income – Gifts** – schedule attached
 - Schedule B - Real Property** – schedule attached **Schedule E - Income – Gifts – Travel Payments** – schedule attached
- or-**
- None - No reportable interests on any schedule**

5. Verification

MAILING ADDRESS STREET CITY STATE ZIP CODE
(Business or Agency Address Recommended - Public Document)

DAYTIME TELEPHONE NUMBER E-MAIL ADDRESS
()

I have used all reasonable diligence in preparing this statement. I have reviewed this statement and to the best of my knowledge the information contained herein and in any attached schedules is true and complete. I acknowledge this is a public document.

I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Date Signed _____ Signature _____
(month, day, year) (File the originally signed statement with your filing official.)

WHICH SCHEDULE DO I USE?

COMMON REPORTABLE INTERESTS

- Schedule A-1: Stocks, including those held in an IRA or a 401K
- Schedule A-2: Business entities (including certain independent contracting), sole proprietorships, partnerships, LLCs, corporations, and trusts
- Schedule B: Rental property in the jurisdiction
- Schedule C: Non-governmental salaries of public official and spouse/registered domestic partner
- Schedule D: Gifts from non-family members (such as tickets to sporting or entertainment events)
- Schedule E: Travel payments from third parties (not your employer)

COMMON NON-REPORTABLE INTERESTS

- Schedule A-1/A-2: Diversified mutual funds registered with the SEC under the Investment Company Act of 1940 and certain retirement accounts invested in insurance policies or government bonds
- Schedule A-1/A-2: Savings and checking accounts
- Schedule B: A residence used exclusively as a personal residence (such as a home or vacation cabin)
- Schedule C: Governmental salary (such as a school district)
- Schedule D: Gifts from family members
- Schedule E: Travel paid by your government agency

- Remember:**
- ! Mark the “No reportable interests” box on Part 4 of the Schedule Summary on the Cover Page if you determine you have nothing to disclose and file the cover page only. **Make sure you carefully read all instructions to ensure proper reporting.**
 - ! The Form 700 is a public document.
 - ! **Most individuals must consult their agency’s conflict-of-interest code for reportable interests.**
 - ! Most individuals file the Form 700 with their agencies.

QUESTIONS AND ANSWERS

General

- Q. What is the reporting period for disclosing interests on an assuming office statement or a candidate statement?
- A. On an assuming office statement, disclose all reportable investments, interests in real property, and business positions held on the date you assumed office. In addition, you must disclose income (including loans, gifts and travel payments) received during the 12 months prior to the date you assumed office.

On a candidate statement, disclose all reportable investments, interests in real property, and business positions held on the date you file your declaration of candidacy. In addition, you must disclose income (including loans, gifts and travel payments) received during the 12 months prior to the date you file your declaration of candidacy.

- Q. I hold two other board positions in addition to my position with the county. Must I file three statements of economic interests?
- A. Yes, three are required. However, you may complete one statement listing the county and the two boards on the cover page as the agencies for which you will be filing. Report your economic interests using the largest jurisdiction and highest disclosure requirements assigned to you by the three agencies. Make two copies of the entire statement **before signing it**, sign each copy with an original signature, and distribute one original to the county and to each of the two boards. Remember to complete separate statements for positions that you leave or assume during the year.
- Q. I am classified as a department head but recently began acting as city manager. Should I file as the city manager?
- A. Yes. File an assuming office statement as city manager. Persons serving as “acting,” “interim,” or “alternate” must file as if they hold the position.
- Q. I left one state agency to work for another state agency. Must I file a leaving office statement?
- A. Yes. You may also need to file an assuming office statement for the new agency.

Investment Disclosure

- Q. I have an investment interest in shares of stock in a company that does not have an office in my jurisdiction. Must I still disclose my investment interest in this company?
- A. Probably. The definition of “doing business in the jurisdiction” is not limited to whether the business has an office in your jurisdiction. See Reference Pamphlet, page 12.
- Q. My spouse and I have a living trust. The trust holds rental property in my jurisdiction, our primary residence, and investments in diversified mutual funds. I have full disclosure. How is this trust disclosed?
- A. Disclose the name of the trust, the rental property and its income on Schedule A-2. Your primary residence and investments in diversified mutual funds registered with the SEC are not reportable.
- Q. I am required to report all investments. I hold many stocks through an account managed by a brokerage firm. Must I disclose these stocks even though I did not decide which stocks to purchase?
- A. Yes, you must disclose on Schedule A-1 or A-2 any stock worth \$2,000 or more in a business entity located in or doing business in your jurisdiction.
- Q. I own stock in IBM and must report this investment on Schedule A-1. I initially purchased this stock in the early 1990s; however, I am constantly buying and selling shares. Must I note these dates in the “Acquired” and “Disposed” fields?
- A. No. You must only report dates in the “Acquired” or “Disposed” fields when, during the reporting period, you initially purchase a reportable investment worth \$2,000 or more or when you dispose of the entire investment. You are not required to track the partial trading of an investment. Note: If a previously reported investment falls below the \$2,000 reporting threshold, you may note this in the comment section of the schedule.

QUESTIONS AND ANSWERS Continued

- Q. On last year's filing I reported stock in Encoe valued at \$2,000 - \$10,000. Late last year the value of this stock fell below and remains at less than \$2,000. How should this be reported on this year's statement?
- A. You are not required to report an investment if the value was less than \$2,000 during the entire reporting period. However, you may want to report the stock and note in the "comments" section that the value fell below \$2,000. This would be for informational purposes only; it is not a requirement.

Income Disclosure

- Q. I reported a business entity on Schedule A-2. Clients of my business are located in several states. Must I report all clients from whom my pro rata share of income is \$10,000 or more on Schedule A-2, Part 3?
- A. No, only the clients doing business on a regular basis in your jurisdiction must be disclosed.
- Q. I believe I am not required to disclose the names of clients from whom my pro rata share of income is \$10,000 or more on Schedule A-2 because of their right to privacy. Is there an exception for reporting clients' names?
- A. Regulation 18740 provides a procedure by which a client's name may not be disclosed if disclosure of the name would violate a legally recognized privilege under California law. This regulation may be obtained from our website at www.fppc.ca.gov.
- Q. I am sole owner of a private law practice that is not reportable based on my limited disclosure category. However, some of the sources of income to my law practice are from reportable sources. Do I have to disclose this income?
- A. Yes, even though the law practice is not reportable, reportable sources of income to the law practice of \$10,000 or more must be disclosed. This information would be disclosed on Schedule C with a note in the "comments" section indicating that the business entity is not a reportable investment. The note would be for informational purposes only; it is not a requirement.

- Q. I am the sole owner of my business. Where do I disclose my income - on Schedule A-2 or Schedule C?
- A. Sources of income to a business in which you have an ownership interest of 10% or greater are disclosed on Schedule A-2. See Reference Pamphlet, page 7, for the definition of "business entity."
- Q. How do I disclose my spouse's or registered domestic partner's salary?
- A. Report the name of the employer as a source of income on Schedule C.
- Q. I am a doctor. For purposes of reporting \$10,000 sources of income on Schedule A-2, Part 3, are the patients or their insurance carriers considered sources of income?
- A. If your patients exercise sufficient control by selecting you instead of other doctors, then your patients, rather than their insurance carriers, are sources of income to you.

Real Property Disclosure

- Q. During this reporting period we switched our principal place of residence into a rental. I have full disclosure and the property is located in my agency's jurisdiction, so it is now reportable. Because I have not reported this property before, do I need to show an "acquired" date?
- A. No, you are not required to show an "acquired" date because you previously owned the property. However, you may want to note in the "comments" section that the property was not previously reported because it was used exclusively as your residence. This would be for informational purposes only; it is not a requirement.

QUESTIONS AND ANSWERS

Continued

Gift Disclosure

- Q. If I received a gift of two tickets to a concert valued at \$100 each, but gave the tickets to a friend because I could not attend the concert, do I have any reporting obligations?
- A. Yes. Since you accepted the gift and exercised discretion and control of the use of the tickets, you must disclose the gift on Schedule D.
- Q. Co-workers are hosting a retirement party for a public official before the official leaves office. Attendees will pay \$45; \$35 covers the event's costs (food, decorations, etc.) and \$10 goes toward a gift. One co-worker is collecting the funds and making the expenditures. What does the official report on his Form 700?
- A. The official discloses the amount that includes the total value of the gift, plus \$35 (his pro rata share of the event's cost). The source can be identified as "office staff" or "co-workers." The names of individual donors are not required to be reported as long as no individual contributed \$50 or more.
- Q. Mary and Joe Benson, a married couple, want to give a piece of artwork to a close friend who is a county supervisor. Is each spouse considered a separate source for purposes of the gift limit and disclosure?
- A. Yes, each spouse may make a gift valued at \$420 during 2010-2011. Therefore, the Bensons may give the supervisor artwork valued at no more than \$840. The supervisor must identify Joe and Mary Benson as the sources of the gift.
- Q. I am a Form 700 filer with full disclosure. Our agency holds a holiday raffle to raise funds for a local charity. I bought \$10 worth of raffle tickets and won a gift basket valued at \$120. The gift basket was donated by Doug Brewer, a citizen in our city. At the same event, I bought raffle tickets for, and won a quilt valued at \$70. The quilt was donated by a coworker. Are these reportable gifts?
- A. Because the gift basket was donated by an outside source (not an agency employee), you have received a reportable gift valued at \$110 (the value of the basket less the consideration paid). The source of the gift is Doug Brewer and the agency is disclosed as the intermediary. Because the quilt was donated by an employee of your agency, it is not a reportable gift.
- Q. My agency is responsible for disbursing grants. An applicant (501(c)(3) organization) met with agency employees to present its application. At this meeting, the applicant provided food and beverages. Would the food and beverages be considered gifts to the employees? These employees are designated in our agency's conflict-of-interest code and the applicant is a reportable source of income under the code.
- A. Yes. If the value of the food and beverages consumed by any one filer, plus any other gifts received from the same source during the reporting period total \$50 or more, the food and beverages would be reported using the fair market value and would be subject to the gift limit.

INSTRUCTIONS – SCHEDULES A-1 AND A-2 INVESTMENTS

“Investment” means a financial interest in any business entity that is located in, doing business in, planning to do business in, or that has done business during the previous two years in your agency’s jurisdiction in which you, your spouse or registered domestic partner, or your dependent children had a direct, indirect, or beneficial interest totaling \$2,000 or more at any time during the reporting period. See Reference Pamphlet, page 12.

Reportable investments include:

- Stocks, bonds, warrants, and options, including those held in margin or brokerage accounts and managed investment funds (See Reference Pamphlet, page 12.)
- Sole proprietorships
- Your own business or your spouse’s or registered domestic partner’s business (See Reference Pamphlet, page 7, for the definition of “business entity.”)
- Your spouse’s or registered domestic partner’s investments that are legally separate property
- Partnerships (e.g., a law firm or family farm)
- Investments in reportable business entities held in a retirement account (See Reference Pamphlet, page 14.)
- If you, your spouse or registered domestic partner, and dependent children together had a 10% or greater ownership interest in a business entity or trust (including a living trust), you must disclose investments held by the business entity or trust. See Reference Pamphlet, page 14, for more information on disclosing trusts.
- Business trusts

You are not required to disclose:

- Diversified mutual funds registered with the Securities and Exchange Commission (SEC) under the Investment Company Act of 1940
- Bank accounts, savings accounts, money market accounts and certificates of deposits
- Insurance policies
- Annuities
- Shares in a credit union
- Government bonds (including municipal bonds)
- Retirement accounts invested in non-reportable interests (e.g., insurance policies, diversified mutual funds, or government bonds) (See Reference Pamphlet, page 14.)

- Government defined-benefit pension plans
- Interests held in a blind trust (See Reference Pamphlet, page 15.)

Use Schedule A-1 to report ownership of less than 10% (e.g., stock). Schedule C (Income) may also be required if the investment is not a stock or corporate bond. See second example below.

Use Schedule A-2 to report ownership of 10% or greater (e.g., a sole proprietorship).

TO COMPLETE SCHEDULE A-1:

Do not attach brokerage or financial statements.

- Disclose the name of the business entity.
- Provide a general description of the business activity of the entity (e.g., pharmaceuticals, computers, automobile manufacturing, or communications).
- Check the box indicating the highest fair market value of your investment during the reporting period. If you are filing a candidate or an assuming office statement, indicate the fair market value on the filing date or the date you took office, respectively.
- Identify the nature of your investment (e.g., stocks, warrants, options, or bonds).
- An acquired or disposed of date is only required if you initially acquired or entirely disposed of the investment interest during the reporting period. The date of a stock dividend reinvestment or partial disposal is not required. Generally, these dates will not apply if you are filing a candidate or an assuming office statement.

Examples:

John Smith holds a state agency position. His conflict-of-interest code requires full disclosure of investments. John must disclose his stock holdings of \$2,000 or more in any company that does business in California, as well as those stocks held by his spouse or registered domestic partner and dependent children.

Susan Jones is a city council member. She has a 4% interest, worth \$5,000, in a limited partnership located in the city. Susan must disclose the partnership on Schedule A-1 and income of \$500 or more received from the partnership on Schedule C.

REMINDERS

- Do you know your agency’s jurisdiction?
- Did you hold investments at any time during the period covered by this statement?
- Code filers – your disclosure categories may only require disclosure of specific investments.

SCHEDULE A-1

Investments

Stocks, Bonds, and Other Interests

(Ownership Interest is Less Than 10%)

Do not attach brokerage or financial statements.

Name _____

▶ NAME OF BUSINESS ENTITY _____

GENERAL DESCRIPTION OF BUSINESS ACTIVITY _____

FAIR MARKET VALUE
 \$2,000 - \$10,000 \$10,001 - \$100,000
 \$100,001 - \$1,000,000 Over \$1,000,000

NATURE OF INVESTMENT
 Stock Other _____ (Describe)
 Partnership Income Received of \$0 - \$499
 Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:
_____/_____/10 ____/_____/10
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY _____

GENERAL DESCRIPTION OF BUSINESS ACTIVITY _____

FAIR MARKET VALUE
 \$2,000 - \$10,000 \$10,001 - \$100,000
 \$100,001 - \$1,000,000 Over \$1,000,000

NATURE OF INVESTMENT
 Stock Other _____ (Describe)
 Partnership Income Received of \$0 - \$499
 Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:
_____/_____/10 ____/_____/10
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY _____

GENERAL DESCRIPTION OF BUSINESS ACTIVITY _____

FAIR MARKET VALUE
 \$2,000 - \$10,000 \$10,001 - \$100,000
 \$100,001 - \$1,000,000 Over \$1,000,000

NATURE OF INVESTMENT
 Stock Other _____ (Describe)
 Partnership Income Received of \$0 - \$499
 Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:
_____/_____/10 ____/_____/10
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY _____

GENERAL DESCRIPTION OF BUSINESS ACTIVITY _____

FAIR MARKET VALUE
 \$2,000 - \$10,000 \$10,001 - \$100,000
 \$100,001 - \$1,000,000 Over \$1,000,000

NATURE OF INVESTMENT
 Stock Other _____ (Describe)
 Partnership Income Received of \$0 - \$499
 Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:
_____/_____/10 ____/_____/10
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY _____

GENERAL DESCRIPTION OF BUSINESS ACTIVITY _____

FAIR MARKET VALUE
 \$2,000 - \$10,000 \$10,001 - \$100,000
 \$100,001 - \$1,000,000 Over \$1,000,000

NATURE OF INVESTMENT
 Stock Other _____ (Describe)
 Partnership Income Received of \$0 - \$499
 Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:
_____/_____/10 ____/_____/10
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY _____

GENERAL DESCRIPTION OF BUSINESS ACTIVITY _____

FAIR MARKET VALUE
 \$2,000 - \$10,000 \$10,001 - \$100,000
 \$100,001 - \$1,000,000 Over \$1,000,000

NATURE OF INVESTMENT
 Stock Other _____ (Describe)
 Partnership Income Received of \$0 - \$499
 Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:
_____/_____/10 ____/_____/10
ACQUIRED DISPOSED

Comments: _____

INSTRUCTIONS – SCHEDULE A-2

INVESTMENTS, INCOME, AND ASSETS OF BUSINESS ENTITIES/TRUSTS

Use Schedule A-2 to report investments in a business entity or trust (including a living trust) in which you, your spouse or registered domestic partner, and your dependent children together had a 10% or greater interest, totaling \$2,000 or more, during the reporting period and which is located in, doing business in, planning to do business in, or which has done business during the previous two years in your agency's jurisdiction. See Reference Pamphlet, page 12. A trust located outside your agency's jurisdiction is reportable if it holds assets that are located in or doing business in the jurisdiction. You are not required to report a trust that contains non-reportable interests. For example, if you have a trust containing only your personal residence not used in whole or in part as a business, your savings account, and some municipal bonds, you would not report this trust because these interests are not reportable.

Also report on Schedule A-2 investments and real property held by that entity or trust if your pro rata share of the investment or real property interest was \$2,000 or more during the reporting period.

TO COMPLETE SCHEDULE A-2:

Part 1. Disclose the name and address of the business entity or trust. If you are reporting an interest in a business entity, check "Business Entity" and complete the box as follows:

- Provide a general description of the business activity of the entity.
- Check the box indicating the highest fair market value of your investment during the reporting period.
- If you initially acquired or entirely disposed of this interest during the reporting period, enter the date acquired or disposed.
- Identify the nature of your investment.
- Disclose the job title or business position you held with the entity, if any (i.e., if you were a director, officer, partner, trustee, employee, or held any position of management).

Part 2. Check the box indicating **your pro rata** share of the **gross** income received **by** the business entity or trust. This amount includes your pro rata share of the **gross** income **from** the business entity or trust, as well as your community property interest in your spouse's or registered domestic partner's share. Gross income is the total amount of income before deducting expenses, losses, or taxes.

Part 3. Disclose the name of each source of income that is located in, doing business in, planning to do business in, or that has done business during the previous two years in your agency's jurisdiction, as follows:

- Disclose each source of income and outstanding loan **to the business entity or trust** identified in Part 1 if your pro rata share of the **gross** income (including your community property interest in your spouse's or registered domestic partner's share) to the business entity or trust from that source was \$10,000 or more during the reporting period. See Reference Pamphlet, page 10, for examples. Income from governmental sources may be reportable if not considered salary. See Regulation 18232. Loans from commercial lending institutions made in the lender's regular course of business on terms available to members of the public without regard to your official status are not reportable.
- Disclose each individual or entity that was a source of commission income of \$10,000 or more during the reporting period through the business entity identified in Part 1. See Reference Pamphlet, page 7, for an explanation of commission income.
You may be required to disclose sources of income located outside your jurisdiction. For example, you may have a client who resides outside your jurisdiction who does business on a regular basis with you. Such a client, if a reportable source of \$10,000 or more, must be disclosed.

Leave Part 3 blank if you do not have any reportable \$10,000 sources of income to disclose. Adding phrases such as "various clients" or "not disclosing sources pursuant to attorney-client privilege" may trigger a request for an amendment to your statement. See Reference Pamphlet, page 13, for details about privileged information.

Part 4. Report any investments or interests in real property held **by the entity or trust** identified in Part 1 if your pro rata share of the interest held was \$2,000 or more during the reporting period. Attach additional schedules or use FPPC's Form 700 Excel spreadsheet if needed.

- Check the applicable box identifying the interest held as real property or an investment.
- If investment, provide the name and description of the business entity.
- If real property, report the address or other precise location (e.g., an assessor's parcel number).
- Check the box indicating the highest fair market value of your interest in the real property or investment during the reporting period. (Report the fair market value of the portion of your residence claimed as a tax deduction if you are utilizing your residence for business purposes.)
- Identify the nature of your interest.
- Enter the date acquired or disposed only if you initially acquired or entirely disposed of your interest in the property or investment during the reporting period.

INSTRUCTIONS — SCHEDULE B INTERESTS IN REAL PROPERTY

Report interests in real property located in your agency's jurisdiction in which you, your spouse or registered domestic partner, or your dependent children had a direct, indirect, or beneficial interest totaling \$2,000 or more any time during the reporting period. See Reference Pamphlet, page 12.

Interests in real property include:

- An ownership interest (including a beneficial ownership interest)
- A deed of trust, easement, or option to acquire property
- A leasehold interest (See Reference Pamphlet, page 13.)
- A mining lease
- An interest in real property held in a retirement account (See Reference Pamphlet, page 14.)
- An interest in real property held by a business entity or trust in which you, your spouse or registered domestic partner, and your dependent children together had a 10% or greater ownership interest (Report on Schedule A-2.)
- Your spouse's or registered domestic partner's interests in real property that are legally held separately by him or her

You are not required to report:

- A residence, such as a home or vacation cabin, used exclusively as a personal residence (However, a residence for which you claim a business deduction may be reportable. If reportable, report the fair market value of the portion claimed as a tax deduction.)
- Interests in real property held through a blind trust (See Reference Pamphlet, page 15, for exceptions.)

TO COMPLETE SCHEDULE B:

- Report the address or other precise location (e.g., an assessor's parcel number) of the real property.
- Check the box indicating the fair market value of your interest in the property (regardless of what you owe on the property).
- Enter the date acquired or disposed only if you initially acquired or entirely disposed of your interest in the property during the reporting period.
- Identify the nature of your interest. If it is a leasehold, disclose the number of years remaining on the lease.

REMINDERS

- Income and loans already reported on Schedule B are not also required to be reported on Schedule C.
- Code filers – do your disclosure categories require disclosure of real property?

- If you received rental income, check the box indicating the gross amount you received.
- If you had a 10% or greater interest in real property and received rental income, list the name of the source(s) if your pro rata share of the gross income from any single tenant was \$10,000 or more during the reporting period. If you received a total of \$10,000 or more from two or more tenants acting in concert (in most cases, this will apply to married couples), disclose the name of each tenant. Otherwise, leave this section blank.
- Loans from a private lender that total \$500 or more and are secured by real property may be reportable. **Loans from commercial lending institutions made in the lender's regular course of business on terms available to members of the public without regard to your official status are not reportable.**

When reporting a loan:

- Provide the name and address of the lender.
- Describe the lender's business activity.
- Disclose the interest rate and term of the loan. For variable interest rate loans, disclose the conditions of the loan (e.g., Prime + 2) or the average interest rate paid during the reporting period. The term of a loan is the total number of months or years given for repayment of the loan at the time the loan was established.
- Check the box indicating the highest balance of the loan during the reporting period.
- Identify a guarantor, if applicable.

If you have more than one reportable loan on a single piece of real property, report the additional loan(s) on Schedule C.

Example:

Joe Nelson is a city planning commissioner. Joe received rental income of \$12,000 during the reporting period from a single tenant who rented property Joe owned in the city's jurisdiction. If Joe had received the \$12,000 from two or more tenants, the tenants' names would not be required as long as no single tenant paid \$10,000 or more. A married couple would be considered a single tenant.

STREET ADDRESS OR PRECISE LOCATION 4600 24th Street	
CITY Sacramento, CA 95814	
FAIR MARKET VALUE	IF APPLICABLE, LIST DATE:
<input type="checkbox"/> \$2,000 - \$10,000	<input type="checkbox"/> / / 10
<input type="checkbox"/> \$10,001 - \$100,000	ACQUIRED DISPOSED
<input checked="" type="checkbox"/> \$100,001 - \$1,000,000	
<input type="checkbox"/> Over \$1,000,000	
NATURE OF INTEREST	
<input checked="" type="checkbox"/> Ownership/Deed of Trust	<input type="checkbox"/> Easement
<input type="checkbox"/> Leasehold	<input type="checkbox"/> Other
Yrs. remaining	
IF RENTAL PROPERTY, GROSS INCOME RECEIVED	
<input type="checkbox"/> \$0 - \$499	<input type="checkbox"/> \$500 - \$1,000
<input type="checkbox"/> \$1,001 - \$100,000	<input type="checkbox"/> \$1,001 - \$10,000
<input checked="" type="checkbox"/> \$10,001 - \$100,000	<input type="checkbox"/> OVER \$100,000
SOURCES OF RENTAL INCOME: If you own a 10% or greater interest, list the name of each tenant that is a single source of income of \$10,000 or more.	
Henry Wells	
NAME OF LENDER*	
Sophia Petroillo	
ADDRESS (Business Address Acceptable)	
2121 Blue Sky Parkway	
BUSINESS ACTIVITY, IF ANY, OF LENDER	
Restaurant Owner	
INTEREST RATE	TERM (Months/Years)
8 % <input type="checkbox"/> None	15 Years
HIGHEST BALANCE DURING REPORTING PERIOD	
<input type="checkbox"/> \$500 - \$1,000	<input type="checkbox"/> \$1,001 - \$10,000
<input checked="" type="checkbox"/> \$10,001 - \$100,000	<input type="checkbox"/> OVER \$100,000
<input type="checkbox"/> Guarantor, if applicable	

INSTRUCTIONS – SCHEDULE C
INCOME, LOANS, & BUSINESS POSITIONS
(Income Other Than Gifts and Travel Payments)

Report the source and amount of gross income of \$500 or more you received during the reporting period. Gross income is the total amount of income before deducting expenses, losses, or taxes and includes loans other than loans from a commercial lending institution. See Reference Pamphlet, page 10. Also report your job title with each reportable business entity, even if you received no income during the reporting period. You must also report the source of income to your spouse or registered domestic partner if your community property share was \$500 or more during the reporting period.

A source of income must be reported only if the source is located in, doing business in, planning to do business in, or has done business during the previous two years in your agency's jurisdiction. See Reference Pamphlet, page 12, for more information about doing business in the jurisdiction. Reportable sources of income may be further limited by your disclosure category located in your agency's conflict-of-interest code.

Commonly reportable income and loans include:

- Salary/wages, per diem, and reimbursement for expenses including travel payments provided by your employer
- Community property interest (50%) in your spouse's or registered domestic partner's income - **report the employer's name and all other required information**
- Income from investment interests, such as partnerships, reported on Schedule A-1
- Commission income not required to be reported on Schedule A-2 (See Reference Pamphlet, page 7.)
- Gross income from any sale, including the sale of a house or car (Report your pro rata share of the total sale price.)
- Rental income not required to be reported on Schedule B
- Prizes or awards not disclosed as gifts
- Payments received on loans you made to others, including loan repayments from a campaign committee
- An honorarium received prior to becoming a public official (See Reference Pamphlet, page 10, concerning your ability to receive future honoraria.)
- Incentive compensation (See Reference Pamphlet, page 11.)

REMINDERS

- Code filers – your disclosure categories may not require disclosure of all sources of income.
- If you or your spouse or registered domestic partner are self-employed, report the business entity on Schedule A-2.
- Do not disclose on Schedule C income, loans, or business positions already reported on Schedules A-2 or B.

You are not required to report:

- Salary, reimbursement for expenses or per diem, or social security, disability, or other similar benefit payments received by you or your spouse or registered domestic partner from a federal, state, or local government agency.

See Reference Pamphlet, page 11, for more exceptions to income reporting.

TO COMPLETE SCHEDULE C:

Part 1. Income Received/Business Position Disclosure

- Disclose the name and address of each source of income or each business entity with which you held a business position.
- Provide a general description of the business activity if the source is a business entity.
- Disclose the job title or business position, if any, that you held with the business entity, even if you did not receive income during the reporting period.
- Check the box indicating the amount of gross income received.
- Identify the consideration for which the income was received.
- For income from commission sales, check the box indicating the gross income received and list the name of each source of commission income of \$10,000 or more. See Reference Pamphlet, page 7.
- For income from rental property that is not required to be listed on Schedule B, enter "Rental Income" under "Name of Source," check the box indicating the gross income received, and, if you had a 10% or greater interest in the rental property, list the name of each tenant if your pro rata share of the gross income from that tenant was \$10,000 or more during the reporting period.

Part 2. Loans Received or Outstanding During the Reporting Period

- Provide the name and address of the lender.
- Provide a general description of the business activity if the lender is a business entity.
- Check the box indicating the highest balance of the loan during the reporting period.
- Disclose the interest rate and the term of the loan.
 - For variable interest rate loans, disclose the conditions of the loan (e.g., Prime + 2) or the average interest rate paid during the reporting period.
 - The term of the loan is the total number of months or years given for repayment of the loan at the time the loan was entered into.
- Identify the security, if any, for the loan.

SCHEDULE C
Income, Loans, & Business
Positions
 (Other than Gifts and Travel Payments)

CALIFORNIA FORM 700
 FAIR POLITICAL PRACTICES COMMISSION

Name _____

▶ 1. INCOME RECEIVED	▶ 1. INCOME RECEIVED
NAME OF SOURCE OF INCOME _____	NAME OF SOURCE OF INCOME _____
ADDRESS (Business Address Acceptable) _____	ADDRESS (Business Address Acceptable) _____
BUSINESS ACTIVITY, IF ANY, OF SOURCE _____	BUSINESS ACTIVITY, IF ANY, OF SOURCE _____
YOUR BUSINESS POSITION _____	YOUR BUSINESS POSITION _____
GROSS INCOME RECEIVED <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000	GROSS INCOME RECEIVED <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000
CONSIDERATION FOR WHICH INCOME WAS RECEIVED <input type="checkbox"/> Salary <input type="checkbox"/> Spouse's or registered domestic partner's income <input type="checkbox"/> Loan repayment <input type="checkbox"/> Partnership <input type="checkbox"/> Sale of _____ <i>(Property, car, boat, etc.)</i> <input type="checkbox"/> Commission or <input type="checkbox"/> Rental Income, list each source of \$10,000 or more <input type="checkbox"/> Other _____ <i>(Describe)</i>	CONSIDERATION FOR WHICH INCOME WAS RECEIVED <input type="checkbox"/> Salary <input type="checkbox"/> Spouse's or registered domestic partner's income <input type="checkbox"/> Loan repayment <input type="checkbox"/> Partnership <input type="checkbox"/> Sale of _____ <i>(Property, car, boat, etc.)</i> <input type="checkbox"/> Commission or <input type="checkbox"/> Rental Income, list each source of \$10,000 or more <input type="checkbox"/> Other _____ <i>(Describe)</i>

▶ 2. LOANS RECEIVED OR OUTSTANDING DURING THE REPORTING PERIOD

* You are not required to report loans from commercial lending institutions, or any indebtedness created as part of a retail installment or credit card transaction, made in the lender's regular course of business on terms available to members of the public without regard to your official status. Personal loans and loans received not in a lender's regular course of business must be disclosed as follows:

NAME OF LENDER* _____	INTEREST RATE _____ % <input type="checkbox"/> None	TERM (Months/Years) _____
ADDRESS (Business Address Acceptable) _____	SECURITY FOR LOAN <input type="checkbox"/> None <input type="checkbox"/> Personal residence <input type="checkbox"/> Real Property _____ <i>Street address</i> _____ <i>City</i>	
BUSINESS ACTIVITY, IF ANY, OF LENDER _____	<input type="checkbox"/> Guarantor _____	
HIGHEST BALANCE DURING REPORTING PERIOD <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000	<input type="checkbox"/> Other _____ <i>(Describe)</i>	

Comments: _____

INSTRUCTIONS – SCHEDULE D INCOME – GIFTS

A gift is anything of value for which you have not provided equal or greater consideration to the donor. A gift is reportable if its fair market value is \$50 or more. In addition, multiple gifts totaling \$50 or more received during the reporting period from a single source must be reported.

Gifts are reportable regardless of where the donor is located.

It is the acceptance of a gift, not the ultimate use to which it is put, that imposes your reporting obligation. Except as noted below, you must report a gift even if you never used it or if you gave it away to another person.

If the exact amount of a gift is unknown, you must make a good faith estimate of the item's fair market value. Listing the value of a gift as "over \$50" or "value unknown" is not adequate disclosure. In addition, if you received a gift through an intermediary, you must disclose the name, address, and business activity of both the donor and the intermediary.

Commonly reportable gifts include:

- Tickets/passes to sporting or entertainment events
- Tickets/passes to amusement parks
- Parking passes
- Food, beverages, and accommodations, including those provided in direct connection with your attendance at a convention, conference, meeting, social event, meal, or like gathering
- Rebates/discounts not made in the regular course of business to members of the public without regard to official status
- Wedding gifts (See Reference Pamphlet, page 15)
- An honorarium received prior to assuming office (You may report an honorarium as income on Schedule C, rather than as a gift on Schedule D, if you provided services of equal or greater value than the payment received. See Reference Pamphlet, page 10, regarding your ability to receive future honoraria.)
- Transportation and lodging (See Schedule E.)
- Forgiveness of a loan received by you

You are not required to disclose:

- Gifts that were not used and that, within 30 days after receipt, were returned to the donor or delivered to a charitable organization without being claimed by you as a charitable contribution for tax purposes
- Gifts from your spouse or registered domestic partner, child, parent, grandparent, grandchild, brother, sister, aunt, uncle, niece, nephew, or first cousin (Included in

REMINDERS

- Gifts from a single source are subject to a \$420 limit. See Reference Pamphlet, page 9.
- See Reference Pamphlet, page 1, for rules on tickets.
- Code filers – you only need to report gifts from reportable sources.

this exception are gifts from your spouse's or domestic partner's children, parents, brothers, sisters, and the spouse or registered domestic partner of the individuals listed above. The exception does not apply if the donor was acting as an agent or intermediary for a reportable source who was the true donor.)

- Gifts of hospitality involving food, drink, or occasional lodging provided in an individual's home when the individual or a member of the individual's family was present
- Gifts of similar value exchanged between you and an individual, other than a lobbyist, on holidays, birthdays, or similar occasions
- Gifts of informational material provided to assist you in the performance of your official duties (e.g., books, pamphlets, reports, calendars, periodicals, or educational seminars)
- A bequest or inheritance (However, inherited investments or real property may be reportable on other schedules.)
- Personalized plaques or trophies with an individual value of less than \$250
- Campaign contributions
- A single ticket to a 501(c)(3) or political fundraising event received for your own use from the organization or the committee holding the fundraiser (The gift limit applies to nonprofit tickets.)
- Gifts given to members of your immediate family unless you enjoy direct benefit of the gift, use the gift, or exercise discretion or control over the use or disposition of the gift (See Commission Regulation 18944.)
- A pass or ticket that provided a one-time admission to an event (e.g., theater performance or sporting event) that was not used and was not transferred to another person (Commission Regulation 18946.1 provides a method for determining the value of a ticket or pass that was used or transferred to another person and for determining the value of passes or tickets that provide repeated admission to facilities or services.)
- The cost of food, beverages, and necessary accommodations provided directly in connection with an event at which you gave a speech, participated in a panel or seminar, or provided a similar service but only if the cost is paid for by a federal, state, or local government agency. **This exception does not apply to a state or local elected officer, as defined in Section 82020, or an official specified in Section 87200.**

TO COMPLETE SCHEDULE D:

- Disclose the full name (not an acronym), address, and, if a business entity, the business activity of the source.
- Provide the date (month, day, and year) of receipt, and disclose the fair market value and description of the gift.

FPPC Form 700 (2010/2011)
FPPC Toll-Free Helpline: 866/275-3772 www.fppc.ca.gov

SCHEDULE D
Income – Gifts

Name _____

▶ NAME OF SOURCE

 ADDRESS (*Business Address Acceptable*)

 BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____

▶ NAME OF SOURCE

 ADDRESS (*Business Address Acceptable*)

 BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____

▶ NAME OF SOURCE

 ADDRESS (*Business Address Acceptable*)

 BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____

▶ NAME OF SOURCE

 ADDRESS (*Business Address Acceptable*)

 BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____

▶ NAME OF SOURCE

 ADDRESS (*Business Address Acceptable*)

 BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____

▶ NAME OF SOURCE

 ADDRESS (*Business Address Acceptable*)

 BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____

Comments: _____

INSTRUCTIONS – SCHEDULE E TRAVEL PAYMENTS, ADVANCES, AND REIMBURSEMENTS

Travel payments reportable on Schedule E include advances and reimbursements for travel and related expenses, including lodging and meals.

Gifts of travel may be subject to the gift limit. In addition, certain travel payments are reportable gifts, but are not subject to the gift limit. To avoid possible misinterpretation or the perception that you have received a gift in excess of the gift limit, you may wish to provide a specific description of the purpose of your travel. See the FPPC fact sheet entitled "Limitations and Restrictions on Gifts, Honoraria, Travel, and Loans" at www.fppc.ca.gov.

You are not required to disclose:

- Travel payments received from any state, local, or federal government agency for which you provided services equal or greater in value than the payments received
- Travel payments received from your employer in the normal course of your employment that are included in the income reported on Schedule C
- Payments for admission to an event at which you make a speech, participate on a panel, or make a substantive formal presentation, transportation, and necessary lodging, food, or beverages, and nominal non-cash benefits provided to you in connection with the event so long as both the following apply:
 - The speech is for official agency business and you are representing your government agency in the course and scope of your official duties.
 - The payment is a lawful expenditure made only by a federal, state, or local government agency for purposes related to conducting that agency's official business.

Note: This exception does not apply to state or local elected officers and officials specified in Section 87200.

- A travel payment that was received from a non-profit entity exempt from taxation under Internal Revenue Code Section 501(c)(3) for which you provided equal or greater consideration

TO COMPLETE SCHEDULE E:

- Disclose the full name (not an acronym) and address of the source of the travel payment.
- Identify the business activity if the source is a business entity.
- Check the box to identify the payment as a gift or income, report the amount, and disclose the date(s).

-- **Travel payments are gifts** if you did not provide services that were equal to or greater in value than the payments received. You must disclose gifts totaling \$50 or more from a single source during the period covered by the statement. Gifts of travel are reportable without regard to where the donor is located.

When reporting travel payments that are gifts, you must provide a description of the gift and the date(s) received.

-- **Travel payments are income** if you provided services that were equal to or greater in value than the payments received. You must disclose income totaling \$500 or more from a single source during the period covered by the statement. You have the burden of proving the payments are income rather than gifts.

When reporting travel payments as income, you must describe the services you provided in exchange for the payment. You are not required to disclose the date(s) for travel payments that are income.

Example:

City council member Rick Chandler is the chairman of a trade association and the association pays for Rick's travel to attend its meetings. Because Rick is deemed providing equal or greater consideration for the travel payment by virtue of serving on the board, this payment may be reported as income. Payments for Rick to attend other events where Rick is not working for the association are likely considered gifts.

NAME OF SOURCE	
Health Services Trade Association	
ADDRESS (Business Address Acceptable)	
1230 K Street, Ste. 610	
CITY AND STATE	
Sacramento, CA	
BUSINESS ACTIVITY, IF ANY, OF SOURCE	<input type="checkbox"/> 501 (c)(3)
Association of Healthcare Workers	
DATE(S):	AMT: \$ 588.00
<small>(if applicable)</small>	
TYPE OF PAYMENT: (must check one) <input type="checkbox"/> Gift <input checked="" type="checkbox"/> Income	
DESCRIPTION: Travel reimbursement for board meeting	

SCHEDULE E

Income – Gifts

Travel Payments, Advances, and Reimbursements

- **Reminder – you must mark the gift or income box.**
- **You are not required to report income from government agencies.**
- **You may mark the box 501(c)(3) for a travel payment received from a nonprofit 501(c)(3) organization. When the payment is a gift it is reportable but is not subject to the \$420 gift limit.**

▶ NAME OF SOURCE _____

ADDRESS *(Business Address Acceptable)* _____

CITY AND STATE _____

BUSINESS ACTIVITY, IF ANY, OF SOURCE 501 (c)(3)

DATE(S): ____/____/____ - ____/____/____ AMT: \$ _____
(If applicable)

TYPE OF PAYMENT: (must check one) Gift Income

DESCRIPTION: _____

▶ NAME OF SOURCE _____

ADDRESS *(Business Address Acceptable)* _____

CITY AND STATE _____

BUSINESS ACTIVITY, IF ANY, OF SOURCE 501 (c)(3)

DATE(S): ____/____/____ - ____/____/____ AMT: \$ _____
(If applicable)

TYPE OF PAYMENT: (must check one) Gift Income

DESCRIPTION: _____

▶ NAME OF SOURCE _____

ADDRESS *(Business Address Acceptable)* _____

CITY AND STATE _____

BUSINESS ACTIVITY, IF ANY, OF SOURCE 501 (c)(3)

DATE(S): ____/____/____ - ____/____/____ AMT: \$ _____
(If applicable)

TYPE OF PAYMENT: (must check one) Gift Income

DESCRIPTION: _____

▶ NAME OF SOURCE _____

ADDRESS *(Business Address Acceptable)* _____

CITY AND STATE _____

BUSINESS ACTIVITY, IF ANY, OF SOURCE 501 (c)(3)

DATE(S): ____/____/____ - ____/____/____ AMT: \$ _____
(If applicable)

TYPE OF PAYMENT: (must check one) Gift Income

DESCRIPTION: _____

Comments: _____

**2010/2011
Form 700
Statement of
Economic Interests**

**Reference
Pamphlet**

California Fair Political Practices Commission

428 J Street, Suite 620 • Sacramento, CA 95814
Toll-free advice line: 1 (866) ASK-FPPC • (866) 275-3772
Telephone: (916) 322-5660 • Website: www.fppc.ca.gov

Contents

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What's New

Gift Limits

The \$420 gift limit will remain in effect until December 31, 2012.

Gifts to Family Members

Regulation 18944 was amended effective February 10, 2010. This regulation states that a gift made to an official's family member that confers a clear personal benefit on the official and is controlled by the official or given to the family member under circumstances in which it appears the gift was intended to at least indirectly benefit the official is considered a gift to the official. In the case of an official listed in Government Code Section 87200, the gift must only confer a presumed personal benefit. Such gift may be reportable and subject to the gift limit.

For example:

All officials: Gifts given to family members of local and state public officials and designated employees for such expenses as housing, food, health costs, or for a television, automobile, or college tuition may be considered a gift to the official subject to reporting and limits.

87200 filers: Gifts such as a round of golf, spa treatment or tickets to an event given to a family member of a Section 87200 official may be considered a gift to the official subject to reporting and limits under certain circumstances. Such circumstances include when the donor of the gift has business before the official's agency and the donor and family member have no working, social or similar relationship.

Speeches Given by Officials Listed in Government Code Section 87200

Effective March 13, 2010, Regulation 18950.3 now provides that payments for transportation, meals, and lodging provided to an official listed in Government Code Section 87200 when making a speech or participating on a panel is a reportable gift or income to the official. Such payments are not necessarily subject to the gift limit.

Source of a Gift – Payment by a Third Party

Regulation 18945 was amended effective June 10, 2010, to clarify, under certain circumstances, the source of a gift is the person who makes a payment to a third party that is used by the third party to make a gift to an official. The third party would be considered the intermediary of the gift.

Positions Not Yet Covered Under a Conflict-of-Interest Code

Effective January 1, 2010, an individual hired for a position not yet covered under an agency's conflict-of-interest code must file Form 700 if the individual serves in a position that makes or participates in making governmental decisions. These individuals must file under the broadest disclosure category until the code is amended to include the new position unless the agency has provided in writing a limited disclosure requirement. Such individuals are referred to as "code filers." See Regulation 18734.

Tickets and Passes to Sporting, Entertainment, and Other Events (Form 802)

FPPC Regulation 18944.1, which went into effect February 7, 2009, sets out the circumstances under which the receipt of tickets and passes by a public official from or through the official's agency does not result in a gift to the official. In addition to imposing new restrictions on the distribution of tickets and passes by state and local government agencies, the regulation requires agencies to disclose the recipients on Form 802. Officials should consult the regulation to determine if tickets or passes received must be disclosed on Form 700.

Tickets to Nonprofit and Political Fundraising Events

FPPC Regulation 18946.4 was amended effective October 4, 2008. Prior to the effective date of the amendments, a public official could receive an unlimited number of tickets to a 501(c)(3) or political fundraiser without disclosing the tickets as a gift or counting the value of the tickets toward the gift limit. As amended, the regulation now allows a public official to receive a single ticket or other admission privilege, for his or her own use, to a 501(c)(3) or political fundraising event. The ticket may only be received from the organization or the committee holding the fundraiser. Other restrictions, including the gift limit, may apply.

Who Must File

1. Officials and Candidates Specified in Gov. Code Section 87200 and Members of Boards and Commissions of Newly Created Agencies

The Act requires the following individuals to fully disclose their personal assets and income described in Form 700, Statement of Economic Interests:

State Offices

- Governor
- Lieutenant Governor
- Attorney General
- Controller
- Insurance Commissioner
- Secretary of State
- Treasurer
- Members of the State Legislature
- Superintendent of Public Instruction
- State Board of Equalization Members
- Public Utilities Commissioners
- State Energy Resources Conservation and Development Commissioners
- State Coastal Commissioners
- Fair Political Practices Commissioners
- State public officials (including employees and consultants) who manage public investments
- Elected members of and candidates for the Board of Administration of the California Public Employees' Retirement System
- Elected members of and candidates for the Teachers' Retirement Board

Other officials and employees of state boards, commissions, agencies, and departments file Form 700 as described in Part 2 on this page.

Judicial Offices

- Supreme, Appellate, and Superior Court Judges
- Court Commissioners
- Retired Judges, Pro-Tem Judges, and part-time Court Commissioners who serve or expect to serve 30 days or more in a calendar year

County and City Offices

- Members of Boards of Supervisors
- Mayors and Members of City Councils
- Chief Administrative Officers
- District Attorneys
- County Counsels
- City Attorneys
- City Managers
- Planning Commissioners
- County and City Treasurers
- County and city public officials (including employees and consultants) who manage public investments

Members of Boards and Commissions of Newly Created Agencies

Members must fully disclose their investments, interests in real property, business positions, and income (including loans, gifts, and travel payments) until the positions are covered under a conflict-of-interest code.

2. State and Local Officials, Employees, Candidates, and Consultants Designated in a Conflict-of-Interest Code ("Code Filers")

The Act requires every state and local government agency to adopt a unique conflict-of-interest code. The code lists each position within the agency filled by individuals who make or participate in making governmental decisions that could affect their personal economic interests.

The code requires individuals holding those positions to periodically file Form 700 disclosing certain personal economic interests as determined by the code's "disclosure categories." These individuals are called "designated employees" or "code filers."

Obtain your disclosure categories from your agency – they are not contained in the Form 700. Persons with broad decisionmaking authority must disclose more interests than those in positions with limited discretion. For example, you may be required to disclose only investments and business positions in or income (including loans, gifts, and travel payments) from businesses of the type that contract with your agency, or you may not be required to disclose real property interests.

In addition, certain consultants to public agencies may qualify as public officials because they make, participate in making, or act in a staff capacity for governmental decisions.

Note: An official who holds a position specified in Gov. Code Section 87200 is not required to file statements under the conflict-of-interest code of any agency that has the same or a smaller jurisdiction (for example, a state legislator who also sits on a state or local board or commission).

Employees in Newly Created Positions of Existing Agencies

An individual hired for a position not yet covered under an agency's conflict-of-interest code must file Form 700 if the individual serves in a position that makes or participates in making governmental decisions. These individuals must file under the agency's broadest disclosure category until the code is amended to include the new position unless the agency has provided in writing a limited disclosure requirement.

Types of Statements

Assuming Office Statement:

If you are a newly appointed official or are newly employed in a position designated, or that will be designated, in a state or local agency's conflict-of-interest code, your assuming office date is the date you were sworn in or otherwise authorized to serve in the position. If you are a newly elected official, your assuming office date is the date you were sworn in.

- Investments, interests in real property, and business positions held on the date you assumed the office or position must be reported. In addition, income (including loans, gifts, and travel payments) received during the 12 months prior to the date you assumed the office or position is reportable.

For positions subject to confirmation by the State Senate or the Commission on Judicial Performance, your assuming office date is the date you were appointed or nominated to the position.

Example:

Maria Lopez was nominated by the Governor to serve on a state agency board that is subject to state Senate confirmation. The assuming office date is the date Maria's nomination is submitted to the Senate. Maria must report investments, interests in real property, and business positions she holds on that date, and income (including loans, gifts, and travel payments) received during the 12 months prior to that date.

Initial Statement:

If your office or position has been added to a newly adopted or newly amended conflict-of-interest code, use the effective date of the code or amendment, whichever is applicable.

- Investments, interests in real property, and business positions held on the effective date of the code or amendment must be reported. In addition, income (including loans, gifts, and travel payments) received during the 12 months prior to the effective date of the code or amendment is reportable.

Annual Statement:

Generally, the period covered is January 1, 2010, through December 31, 2010. If the period covered by the statement is different than January 1, 2010, through December 31, 2010, (for example, you assumed office between October 1, 2009, and December 31, 2009, or you are combining statements), you must specify the period covered.

- Investments, interests in real property, business positions held, and income (including loans, gifts, and

travel payments) received during the period covered by the statement must be reported. Do not change the preprinted dates on Schedules A-1, A-2, and B unless you are required to report the acquisition or disposition of an interest that did not occur in 2010.

- If your disclosure category changes during a reporting period, disclose under the old category until the effective date of the conflict-of-interest code amendment and disclose under the new disclosure category through the end of the reporting period.

Leaving Office Statement:

Generally, the period covered is January 1, 2010, through the date you stopped performing the duties of your position. If the period covered differs from January 1, 2010, through the date you stopped performing the duties of your position (for example, you assumed office between October 1, 2009, and December 31, 2009, or you are combining statements), the period covered must be specified.

- Investments, interests in real property, business positions held, and income (including loans, gifts, and travel payments) received during the period covered by the statement must be reported. Do not change the preprinted dates on Schedules A-1, A-2, and B unless you are required to report the acquisition or disposition of an interest that did not occur in 2010.

Candidate Statement:

If you are filing a statement in connection with your candidacy for state or local office, investments, interests in real property, and business positions held on the date of filing your declaration of candidacy must be reported. In addition, income (including loans, gifts, and travel payments) received during the 12 months prior to the date of filing your declaration of candidacy is reportable. Do not change the preprinted dates on Schedules A-1, A-2, and B.

Candidates running for local elective offices (e.g., county sheriffs, city clerks, school board trustees, and water district board members) must file candidate statements, as required by the conflict-of-interest code for the elected position.

Amendments:

If you discover errors or omissions on any statement, file an amendment as soon as possible. You are only required to amend the schedule that needs to be revised; it is not necessary to refile the entire form. To obtain amendment schedules, contact the FPPC, your filing official, or go to the FPPC website at www.fppc.ca.gov.

Where to File

1. Officials Specified in Gov. Code Section 87200 (See Reference Pamphlet, page 2):

In most cases, the filing officials listed below will retain a copy of your statement and forward the original to the FPPC.

Filers	Where to File
87200 Filers	
State offices	Your agency
Judicial offices	The clerk of your court
Retired Judges	Directly with FPPC
County offices	Your county filing official
City offices	Your city clerk
Multi-County offices	Your agency
87200 Candidates	
State offices	County elections official with whom you file your declaration of candidacy
Judicial offices	
Multi-County offices	
County offices	County elections official
City offices	City Clerk
Public Employees' Retirement System (CalPERS)	CalPERS
State Teachers' Retirement Board (CalSTRS)	CalSTRS

2. Code Filers — State and Local Officials, Employees, Candidates, and Consultants Designated in a Conflict-of-Interest Code:

File with your agency, board, or commission unless otherwise specified in your agency's conflict-of-interest code. In most cases, the agency, board, or commission will retain the statements.

Candidates for local elective offices designated in a conflict-of-interest code file with the elections office where the declaration of candidacy or other nomination documents are filed.

3. Members of Boards and Commissions of Newly Created Agencies:

File with your newly created agency or with your agency's code reviewing body as provided by your code reviewing body.

State Senate and Assembly staff members file statements directly with the FPPC.

Exceptions:

- Elected state officers are not required to file statements under any agency's conflict-of-interest code.
- Filers listed in Section 87200 are not required to file statements under any agency's conflict-of-interest code in the same jurisdiction. For example, a county supervisor who is appointed to serve in an agency with jurisdiction in the same county has no additional filing obligations.

4. Positions Not Yet Covered Under a Conflict-of-Interest Code

Effective January 1, 2010, an individual hired for a position not yet covered under an agency's conflict-of-interest code must file Form 700 if the individual serves in a position that makes or participates in making governmental decisions. These individuals must file under the broadest disclosure category until the code is amended to include the new position unless the agency has provided in writing a limited disclosure requirement. Such individuals are referred to as "code filers." See Regulation 18734.

When to File

Assuming Office and Initial Statements:

Filer	Deadline
Elected officials	30 days after assuming office
Appointed positions specified in Gov. Code Section 87200 or Newly created board and commission members not covered by a conflict-of-interest code	30 days after assuming office or 10 days after appointment or nomination if subject to Senate or judicial confirmation
Other appointed positions (including those held by newly-hired employees) that are or will be designated in a conflict-of-interest code	30 days after assuming office (30 days after appointment or nomination if subject to Senate confirmation)
Positions newly added to a new or amended conflict-of-interest code	30 days after the effective date of the code or code amendment

Exceptions:

- Elected state officers who assume office in December or January are not required to file an assuming office statement, but will file the next annual statement due.
- If you complete a term of office and, within 30 days, begin a new term of the same office (for example, you are reelected or reappointed), you are not required to file an assuming office statement. Instead, you will simply file the next annual statement due.
- If you leave an office specified in Gov. Code Section 87200 and, within 45 days, you assume another office or position specified in Section 87200 that has the same jurisdiction (for example, a city planning commissioner elected mayor), you are not required to file an assuming office statement. Instead, you will simply file the next annual statement due.
- If you transfer from one designated position to another designated position within the same agency, contact your filing officer or the FPPC to determine your filing obligations.

Late Statements are subject to a \$10 per day late fine up to \$100 for each day the statement is late.

Annual Statements:

1. Elected state officers (including members of the state legislature, members elected to the Board of Administration of the California Public Employees' Retirement System and members elected to the Teachers' Retirement Board);
Judges and court commissioners; and
Members of state boards and commissions specified in Gov. Code Section 87200:

File no later than **Tuesday, March 1, 2011.**
2. County and city officials specified in Gov. Code Section 87200:

File no later than **Friday, April 1, 2011.**
3. Multi-County officials:

File no later than **Friday, April 1, 2011.**
4. State and local officials and employees designated in a conflict-of-interest code:

File on the date prescribed in the code (April 1 for most filers).

Exception:

If you assumed office between October 1, 2010, and December 31, 2010, and filed an assuming office statement, you are not required to file an annual statement until March 1, 2012, or April 2, 2012, whichever is applicable. The annual statement will cover the day after you assumed office through December 31, 2011.

Incumbent officeholders who file candidate statements also must file annual statements by the specified deadlines.

Leaving Office Statements:

Leaving office statements must be filed no later than **30 days** after leaving the office or position.

Exceptions:

- If you complete a term of office and, within 30 days, begin a new term of the same office (for example, you are reelected or reappointed), you are not required to file a leaving office statement. Instead, you will simply file the next annual statement due.

When to File - (continued)

- If you leave an office specified in Gov. Code Section 87200 and, within 45 days, you assume another office or position specified in Section 87200 that has the same jurisdiction (for example, a city planning commissioner elected mayor), you are not required to file a leaving office statement. Instead, you will simply file the next annual statement due.
- If you transfer from one designated position to another designated position within the same agency, contact your filing officer or the FPPC to determine your filing obligations.

Candidate Statements

All candidates (including incumbents) for offices specified in Gov. Code Section 87200 must file statements no later than the final filing date for their declaration of candidacy.

Candidates seeking a position designated in a conflict-of-interest code must file no later than the final filing date for the declaration of candidacy or other nomination documents.

Exception:

A candidate statement is not required if you filed any statement (other than a leaving office statement) for the same jurisdiction **within 60 days** before filing a declaration of candidacy or other nomination documents.

Terms & Definitions

The instructions located on the back of each schedule describe the types of interests that must be reported. The purpose of this section is to explain other terms used in Form 700 that are not defined in the instructions to the schedules or elsewhere.

Blind Trust: See Trusts, Reference Pamphlet, page 14.

Business Entity: Any organization or enterprise operated for profit, including a proprietorship, partnership, firm, business trust, joint venture, syndicate, corporation, or association. This would include a business for which you take business deductions for tax purposes (for example, a small business operated in your home).

Code Filer: An individual who has been designated in a state or local agency's conflict-of-interest code to file statements of economic interests.

Effective January 1, 2010, an individual hired for a position not yet covered under an agency's conflict-of-interest code must file Form 700 if the individual serves in a position that makes or participates in making governmental decisions. These individuals must file under the broadest disclosure category until the code is amended to include the new position unless the agency has provided in writing a limited disclosure requirement. See Regulation 18734.

Commission Income: "Commission income" means gross payments of \$500 or more received during the period covered by the statement as a broker, agent, or salesperson, including insurance brokers or agents, real estate brokers or agents, travel agents or salespersons, stockbrokers, and retail or wholesale salespersons, among others.

In addition, you may be required to disclose the names of sources of commission income if your pro rata share of the gross income was \$10,000 or more from a single source during the reporting period. If your spouse or registered domestic partner received commission income, you would disclose your community property share (50%) of that income (that is, the names of sources of \$20,000 or more in gross commission income received by your spouse or registered domestic partner).

Report commission income as follows:

- If the income was received through a business entity in which you and your spouse or registered domestic partner had a 10% or greater ownership interest (or if you receive commission income **on a regular basis** as an independent contractor or agent), use Schedule A-2.
- If the income was received through a business entity in which you or your spouse or registered domestic partner **did not receive commission income on a regular basis** or you had a less than 10% ownership interest, use Schedule C.

The "source" of commission income generally includes all parties to a transaction, and each is attributed the full value of the commission.

Examples:

- You are a partner in Smith and Jones Insurance Company and have a 50% ownership interest in the company. You sold two Businessmen's Insurance Company policies to XYZ Company during the reporting period. You received commission income of \$5,000 from the first transaction and \$6,000 from the second. On Schedule A-2, report your partnership interest in and income received from Smith and Jones Insurance Company in Parts 1 and 2. In Part 3, list both Businessmen's Insurance Company and XYZ Company as sources of \$10,000 or more in commission income.
- You are a stockbroker for Prince Investments, but you have no ownership interest in the firm. You receive commission income on a regular basis through the sale of stock to clients. Your total gross income from your employment with Prince Investments was over \$100,000 during the reporting period. On Schedule A-2, report your name as the name of the business entity in Part 1 and the gross income you have received in Part 2. (Because you are an employee of Prince Investments, you do not need to complete the information in the box in Part 1 indicating the general description of business activity, fair market value, or nature of investment.) In Part 3, list Prince Investments and the names of any clients who were sources of \$10,000 or more in commission income to you.
- You are a real estate agent and an independent contractor under Super Realty. On Schedule A-2, Part 1, in addition to your name or business name, complete the business entity description box. In Part 2, identify your gross income. In Part 3, for each transaction that resulted in commission income to you of \$10,000 or more, you must identify the brokerage entity, each person you represented, and any person who received a finder's or other referral fee for referring a party to the transaction to the broker.

Note: If your pro rata share of commission income from a single source is \$500 or more, you may be required to disqualify yourself from decisions affecting that source of income, even though you are not required to report the income. *For information regarding disclosure of "incentive compensation," see Reference Pamphlet, page 11.*

Terms & Definitions - (continued)

Conflict of Interest: A public official or employee has a conflict of interest under the Act when all of the following occur:

- The official makes, participates in making, or uses his or her official position to influence a governmental decision;
- It is reasonably foreseeable that the decision will affect the official's economic interest;
- The effect of the decision on the official's economic interest will be material; and
- The effect of the decision on the official's economic interest will be different than its effect on the public generally. Check the FPPC website (www.fppc.ca.gov) for a fact sheet entitled, "Can I Vote? Conflict of Interest Overview."

Conflict-of-Interest Code: The Act requires every state and local government agency to adopt a conflict-of-interest code. The code may be contained in a Regulation, policy statement, or a city or county ordinance, resolution, or other document.

An agency's conflict-of-interest code must designate all officials and employees of, and consultants to, the agency who make or participate in making governmental decisions that could cause conflicts of interest. These individuals are required by the code to file statements of economic interests and to disqualify themselves when conflicts of interest occur.

The disclosure required under a conflict-of-interest code for a particular designated official or employee should include only the kinds of personal economic interests he or she could significantly affect through the exercise of his or her official duties. For example, an employee whose duties are limited to reviewing contracts for supplies, equipment, materials, or services provided to the agency should be required to report only those interests he or she holds that are likely to be affected by the agency's contracts for supplies, equipment, materials, or services.

Consultant: An individual who contracts with or whose employer contracts with state or local government agencies and who makes, participates in making, or acts in a staff capacity for making governmental decisions. Consultants may be required to file Form 700. The obligation to file Form 700 is always imposed on the individual who is providing services to the agency, not on the business or firm that employs the individual.

FPPC Regulation 18701 defines "consultant" as an individual who makes a governmental decision whether to:

- Approve a rate, rule, or regulation
- Adopt or enforce a law
- Issue, deny, suspend, or revoke any permit, license, application, certificate, approval, order, or similar authorization or entitlement
- Authorize the agency to enter into, modify, or renew a contract provided it is the type of contract that requires agency approval
- Grant agency approval to a contract that requires agency approval and to which the agency is a party, or to the specifications for such a contract
- Grant agency approval to a plan, design, report, study, or similar item
- Adopt, or grant agency approval of, policies, standards, or guidelines for the agency or for any of its subdivisions

A consultant also is an individual who serves in a staff capacity with the agency and:

- participates in making a governmental decision; or
- performs the same or substantially all the same duties for the agency that would otherwise be performed by an individual holding a position specified in the agency's conflict-of-interest code.

Designated Employee: An official or employee of a state or local government agency whose position has been designated in the agency's conflict-of-interest code to file statements of economic interests or whose position has not yet been listed in the code but makes or participates in making governmental decisions. Individuals who contract with government agencies (consultants) may also be designated in a conflict-of-interest code.

A federal officer or employee serving in an official federal capacity on a state or local government agency is not a designated employee.

Terms & Definitions - (continued)

Disclosure Categories: The section of an agency's conflict-of-interest code that specifies the types of personal economic interests officials and employees of the agency must disclose on their statements of economic interests. Disclosure categories are usually contained in an appendix or attachment to the conflict-of-interest code. Contact your agency to obtain a copy of your disclosure categories.

Diversified Mutual Fund: Diversified portfolios of stocks, bonds, or money market instruments that are managed by investment companies whose business is pooling the money of many individuals and investing it to seek a common investment goal. Mutual funds are managed by trained professionals who buy and sell securities. A typical mutual fund will own between 75 to 100 separate securities at any given time so they also provide instant diversification. *Only diversified mutual funds registered with the Securities and Exchange Commission under the Investment Company Act of 1940 are exempt from disclosure.*

Elected State Officer: Elected state officers include the Governor, Lieutenant Governor, Attorney General, Insurance Commissioner, State Controller, Secretary of State, State Treasurer, Superintendent of Public Instruction, members of the State Legislature, members of the State Board of Equalization, elected members of the Board of Administration of the California Public Employees' Retirement System and members elected to the Teachers' Retirement Board.

Enforcement: The FPPC investigates suspected violations of the Act. Other law enforcement agencies (the Attorney General or district attorney) also may initiate investigations under certain circumstances. If violations are found, the Commission may initiate administrative enforcement proceedings that could result in fines of up to \$5,000 per violation.

Instead of administrative prosecution, a civil action may be brought for negligent or intentional violations by the appropriate civil prosecutor (the Commission, Attorney General, or district attorney), or a private party residing within the jurisdiction. In civil actions, the measure of damages is up to the amount or value not properly reported.

Persons who violate the conflict-of-interest disclosure provisions of the Act also may be subject to agency discipline, including dismissal.

Finally, a knowing or willful violation of any provision of the Act is a misdemeanor. Persons convicted of a misdemeanor may be disqualified for four years from the date of the conviction from serving as a lobbyist or running for elective office, in addition to other penalties that may be imposed. The Act also provides for numerous civil penalties, including monetary penalties and damages, and injunctive relief from the courts.

Expanded Statement: Some officials or employees may have multiple filing obligations (for example, a city council member who also holds a designated position with a county agency, board, or commission). Such officials or employees may complete one expanded statement covering the disclosure requirements for all positions and file a complete, originally signed copy with each agency.

Fair Market Value: When reporting the value of an investment, interest in real property, or gift, you must disclose the fair market value – the price at which the item would sell for on the open market. This is particularly important when valuing gifts, because the fair market value of a gift may be different from the amount it cost the donor to provide the gift. For example, the wholesale cost of a bouquet of flowers may be \$10, but the fair market value may be \$25 or more. In addition, there are special rules for valuing free tickets and passes. Call the FPPC for assistance.

Gift and Honoraria Prohibitions:

Gifts:

State and local officials who are listed in Gov. Code Section 87200 (except judges – see below), candidates for these elective offices (including judicial candidates), and officials and employees of state and local government agencies who are designated in a conflict-of-interest code are prohibited from accepting a gift or gifts totaling more than \$420 in a calendar year from a single source during 2010-2011.

In addition, elected state officers, candidates for elective state offices, and officials and employees of state agencies are subject to a \$10 per calendar month limit on gifts from lobbyists and lobbying firms registered with the Secretary of State.

Terms & Definitions - (continued)

Honoraria:

State and local officials who are listed in Gov. Code Section 87200 (except judges – see below), candidates for these elective offices (including judicial candidates), and employees of state and local government agencies who are designated in a conflict-of-interest code are prohibited from accepting honoraria for any speech given, article published, or attendance at any public or private conference, convention, meeting, social event, meal, or like gathering.

Exceptions:

- Some gifts are not reportable or subject to the gift and honoraria prohibitions, and other gifts may not be subject to the prohibitions, but are reportable. For detailed information, see the FPPC fact sheet entitled “Limitations and Restrictions on Gifts, Honoraria, Travel, and Loans,” which can be obtained from your filing officer or the FPPC website (www.fppc.ca.gov).
- The \$420 gift limit and the honorarium prohibition do not apply to a part-time member of the governing board of a public institution of higher education, unless the member is also an elected official.
- If you are designated in a state or local government agency’s conflict-of-interest code, the \$420 gift limit and honorarium prohibition are applicable only to sources you would otherwise be required to report on your statement of economic interests. However, this exception is not applicable if you also hold a position listed in Gov. Code Section 87200 (See Reference Pamphlet, page 2.)
- For state agency officials and employees, the \$10 lobbyist/lobbying firm gift limit is applicable only to lobbyists and lobbying firms registered to lobby your agency. This exception is not applicable if you are an elected state officer or a member or employee of the State Legislature.
- Payments for articles published as part of the practice of a bona fide business, trade, or profession, such as teaching, are not considered honoraria. A payment for an “article published” that is customarily provided in connection with teaching includes text book royalties and payments for academic tenure review letters. An official is presumed to be engaged in the bona fide profession of teaching if he or she is employed to teach at an accredited university.

Judges:

Section 170.9 of the Code of Civil Procedure imposes gift limits on judges and prohibits judges from accepting any

honorarium. Section 170.9 is enforced by the Commission on Judicial Performance. The FPPC has no authority to interpret or enforce the Code of Civil Procedure. Court commissioners are subject to the gift limit under the Political Reform Act.

Income Reporting: Reporting income under the Act is different than reporting income for tax purposes. The Act requires **gross** income (the amount received before deducting losses, expenses, or taxes, as well as income reinvested in a business entity) to be reported.

Pro Rata Share: The instructions for reporting income refer to your pro rata share of the income received. Your pro rata share is normally based on your ownership interest in the entity or property. For example, if you are a sole proprietor, you must disclose 100% of the gross income to the business entity on Schedule A-2. If you own 25% of a piece of rental property, you must report 25% of the gross rental income received. When reporting your community property interest in your spouse’s or registered domestic partner’s income, your pro rata share is 50% of his or her income.

When you are required to report sources of income to a business entity, sources of rental income, or sources of commission income, you are only required to disclose individual sources of income of \$10,000 or more. However, you may be required to **disqualify** yourself from decisions affecting sources of \$500 or more in income, even though you are not required to report them.

Examples:

- Alice Ruiz is a partner in a business entity. She has a 25% interest. On Schedule A-2, she must disclose 25% of the fair market value of the business entity; 25% of the gross income to the business entity (even though all of the income received was reinvested in the business and she did not personally receive any income from the business); and the name of each source of \$40,000 or more to the business.
- Cynthia and Mark Johnson, a married couple, own Classic Autos. Income to this business was \$200,000. In determining the amount to report for income on Schedule A-2, Part 2, Mark must include his 50% share (\$100,000) and 50% of his spouse’s share (\$50,000). Thus, his reportable income would be \$150,000 and he will check the box indicating \$100,001-\$1,000,000. (Also see Reference Pamphlet, page 12, for an example of how to calculate the value of this investment.)

Terms & Definitions - (continued)

You are not required to report:

- Salary, reimbursement for expenses or per diem, social security, disability, or other similar benefit payments received by you or your spouse or registered domestic partner from a federal, state, or local government agency
- Campaign contributions
- A cash bequest or cash inheritance
- Returns on a security registered with the Securities and Exchange Commission, including dividends, interest, or proceeds from a sale of stocks or bonds
- Redemption of a mutual fund
- Payments received under an insurance policy
- Interest, dividends, or premiums on a time or demand deposit in a financial institution, shares in a credit union, an insurance policy, or a bond or other debt instrument issued by a government agency
- Your spouse's or registered domestic partner's income that is legally "separate" income
- Income of dependent children
- Automobile trade-in allowances from dealers
- Loans and loan repayments received from your spouse or registered domestic partner, child, parent, grandparent, grandchild, brother, sister, parent-in-law, brother-in-law, sister-in-law, nephew, niece, aunt, uncle, or first cousin unless he or she was acting as an intermediary or agent for any person not covered by this provision
- Alimony or child support payments
- Payments received under a defined benefit pension plan qualified under Internal Revenue Code Section 401(a)
- Any loan from a commercial lending institution made in the lender's regular course of business on terms available to the public without regard to your official status
- Any retail installment or credit card debts incurred in the creditor's regular course of business on terms available to the public without regard to your official status
- Loans made to others. However, repayments may be reportable on Schedule C
- A loan you co-signed for another person unless you made payments on the loan during the reporting period

Incentive Compensation: "Incentive compensation" means income over and above salary that is either ongoing or cumulative, or both, as sales or purchases of goods or services accumulate. Incentive compensation is calculated by a predetermined formula set by the official's employer which correlates to the conduct of the purchaser in direct response to the effort of the official.

Incentive compensation does not include:

- Salary
- Commission income (*For information regarding disclosure of "commission income," see Reference Pamphlet, page 7.*)
- Bonuses for activity not related to sales or marketing, the amount of which is based solely on merit or hours worked over and above a predetermined minimum
- Executive incentive plans based on company performance, provided that the formula for determining the amount of the executive's incentive income does not include a correlation between that amount and increased profits derived from increased business with specific and identifiable clients or customers of the company
- Payments for personal services which are not marketing or sales

The purchaser is a source of income to the official if all three of the following apply:

- the official's employment responsibilities include directing sales or marketing activity toward the purchaser; and
- there is direct personal contact between the official and the purchaser intended by the official to generate sales or business; and
- there is a direct relationship between the purchasing activity of the purchaser and the amount of the incentive compensation received by the official.

Report incentive compensation as follows:

- In addition to salary, reimbursement of expenses, and other income received from your employer, separately report on Schedule C the name of each person who purchased products or services sold, marketed or represented by you if you received incentive compensation of \$500 or more attributable to the purchaser during the period covered by the statement.
- If incentive compensation is paid by your employer in a lump sum, without allocation of amounts to specific customers, you must determine the amount of incentive compensation attributable to each of your customers. This may be based on the volume of sales to those customers.

(See Regulations 18703.3 and 18728.5 for more information.)

Terms & Definitions - (continued)

Investment Funds: Report investment funds in which the value of your interest is \$2,000 or more. If your investment share is less than 10%, report only the fund on Schedule A-1. If your investment in the fund is 10% or greater, report the fund and any investments contained in the fund in which your interest is \$2,000 or more on Schedule A-2. Common examples of investment funds are index funds, exchange-traded funds, and venture capital funds. Diversified mutual funds registered with the Securities and Exchange Commission under the Investment Company Act of 1940 are exempt from disclosure.

Investments and Interests in Real Property: When disclosing investments on Schedules A-1 or A-2 and interests in real property on Schedules A-2 or B, you must include investments and interests in real property held by your spouse or registered domestic partner, and those held by your dependent children, as if you held them directly.

Examples:

- Terry Pearson, her husband, and two children each own \$600 in stock in General Motors. Because the total value of their holdings is \$2,400, Terry must disclose the stock as an investment on Schedule A-1.
- Cynthia and Mark Johnson, a married couple, jointly own Classic Autos. Mark must disclose Classic Autos as an investment on Schedule A-2. To determine the reportable value of the investment, Mark will aggregate the value of his 50% interest and Cynthia's 50% interest. Thus, if the total value of the business entity is \$150,000, he will check the box \$100,001 - \$1,000,000 in Part 1 of Schedule A-2. (Also see Reference Pamphlet, page 10, for an example of how to calculate reportable income.)

The Johnsons also own the property where Classic Autos is located. To determine the reportable value of the real property, Mark will again aggregate the value of his 50% interest and Cynthia's 50% interest to determine the amount to report in Part 4 of Schedule A-2.
- Katie Smith rents out a room in her home. She receives \$6,000 a year in rental income. Katie will report the fair market value of the rental portion of her residence and the income received on Schedule B.

Jurisdiction: Report discloseable investments and sources of income (including loans, gifts, and travel

payments) that are located in or doing business in your agency's jurisdiction, are planning to do business in your agency's jurisdiction, or have done business during the previous two years in your agency's jurisdiction, and interests in real property located in your agency's jurisdiction.

A business entity is located in or doing business in your agency's jurisdiction if the entity has business contacts on a regular or substantial basis with a person who maintains a physical presence in your jurisdiction.

Business contacts include, but are not limited to, manufacturing, distributing, selling, purchasing, or providing services or goods. Business contacts do not include marketing via the Internet, telephone, television, radio, or printed media.

The same criteria are used to determine whether an individual, organization, or other entity is located in or doing business in your jurisdiction.

Exception:

Gifts are reportable regardless of the location of the donor. For example, a state agency official with full disclosure must report gifts from sources located outside of California. (Designated employees/code filers should consult their [disclosure categories](#) to determine if the donor of a gift is of the type that must be disclosed.)

When reporting interests in real property, if your jurisdiction is the state, you must disclose real property located within the state of California unless your agency's conflict-of-interest code specifies otherwise.

For local agencies, an interest in real property is located in your jurisdiction if any part of the property is located in, or within two miles of, the region, city, county, district, or other geographical area in which the agency has jurisdiction, or if the property is located within two miles of any land owned or used by the agency.

See the following explanations to determine what your jurisdiction is:

State Offices and All Courts: Your jurisdiction is the state if you are an elected state officer, a state legislator, or a candidate for one of these offices. Judges, judicial candidates, and court commissioners have statewide jurisdiction. (*In re Baty* (1979) 5 FPPC Ops. 10.) If you are an official or employee of, or a consultant to, a state board, commission, or agency, or of any court or the State Legislature, your jurisdiction is the state.

Terms & Definitions - (continued)

County Offices: Your jurisdiction is the county if you are an elected county officer, a candidate for county office, or if you are an official or employee of, or a consultant to, a county agency or any agency with jurisdiction solely within a single county.

City Offices: Your jurisdiction is the city if you are an elected city officer, a candidate for city office, or you are an official or employee of, or a consultant to, a city agency or any agency with jurisdiction solely within a single city.

Multi-County Offices: If you are an elected officer, candidate, official or employee of, or a consultant to a multi-county agency, your jurisdiction is the region, district, or other geographical area in which the agency has jurisdiction. (Example: A water district has jurisdiction in a portion of two counties. Members of the board are only required to report interests located or doing business in that portion of each county in which the agency has jurisdiction.)

Other (for example, school districts, special districts and JPAs): If you are an elected officer, candidate, official or employee of, or a consultant to an agency not covered above, your jurisdiction is the region, district, or other geographical area in which the agency has jurisdiction. See the multi-county example above.

Leasehold Interest: The term "interest in real property" includes leasehold interests. An interest in a lease on real property is reportable if the value of the leasehold interest is \$2,000 or more. The value of the interest is the total amount of rent owed by you during the reporting period or, for a candidate, assuming office, or initial statement, during the prior 12 months.

You are not required to disclose a leasehold interest with a value of less than \$2,000 or a month-to-month tenancy.

Loan Reporting: Filers are not required to report loans from commercial lending institutions or any indebtedness created as part of retail installment or credit card transactions that are made in the lender's regular course of business, without regard to official status, on terms available to members of the public.

Loan Restrictions: State and local elected and appointed public officials are prohibited from receiving any personal loan totaling more than \$250 from an official, employee, or consultant of their government agencies or any government agency over which the official or the

official's agency has direction or control. In addition, loans of more than \$250 from any person who has a contract with the official's agency or an agency under the official's control are prohibited unless the loan is from a commercial lending institution or part of a retail installment or credit card transaction made in the regular course of business on terms available to members of the public.

State and local elected officials are also prohibited from receiving any personal loan of \$500 or more unless the loan agreement is in writing and clearly states the terms of the loan, including the parties to the loan agreement, the date, amount, and term of the loan, the date or dates when payments are due, the amount of the payments, and the interest rate on the loan.

Campaign loans and loans from family members are not subject to the \$250 and \$500 loan prohibitions.

A personal loan made to a public official that is not being repaid or is being repaid below certain amounts will become a gift to the official under certain circumstances. Contact the FPPC for further information, or see the FPPC fact sheet entitled "Limitations and Restrictions on Gifts, Honoraria, Travel, and Loans," which can be obtained from your filing officer or the FPPC website (www.fppc.ca.gov).

Privileged Information: You are not required to disclose on Schedule A-2, Part 3, the name of a person who paid fees or made payments to a business entity if disclosure of the name would violate a legally recognized privilege under California law. For example, a name is protected by attorney-client privilege when facts concerning an attorney's representation of an anonymous client are publicly known and those facts, when coupled with disclosure of the client's identity, might expose the client to an official investigation or to civil or criminal liability.

A patient's name is protected by physician-patient privilege when disclosure of the patient's name would also reveal the nature of the treatment received by the patient because, for example, the physician is recognized as a specialist.

FPPC Regulation 18740 sets out specific procedures that must be followed in order to withhold the name of a source of income. Requests for disclosure exemptions are filed with the FPPC Executive Director.

Terms & Definitions - (Continued)

Public Officials Who Manage Public Investments:

Individuals who invest public funds in revenue-producing programs must file Form 700. This includes individuals who direct or approve investment transactions, formulate or approve investment policies, and establish guidelines for asset allocations. FPPC Regulation 18701 defines “public officials who manage public investments” to include the following:

- Members of boards and commissions, including pension and retirement boards or commissions, and committees thereof, who exercise responsibility for the management of public investments;
- High-level officers and employees of public agencies who exercise primary responsibility for the management of public investments (for example, chief or principal investment officers or chief financial managers); and
- Individuals who, pursuant to a contract with a state or local government agency, perform the same or substantially all the same functions described above.

Registered Domestic Partners: Filers must report investments and interests in real property held by, and sources of income to, registered domestic partners. (See Regulation 18229.)

Retirement Accounts (for example, deferred compensation and individual retirement accounts (IRAs)):

Assets held in retirement accounts must be disclosed if the assets are reportable items, such as common stock (investments) or real estate (interests in real property). For help in determining whether your investments and real property are reportable, see the instructions to Schedules A-1, A-2, and B.

If your retirement account holds reportable assets, disclose only the assets held in the account, not the account itself. You may have to contact your account manager to determine the assets contained in your account.

Schedule A-1: Report any business entity in which the value of your investment interest was \$2,000 or more during the reporting period. (Use Schedule A-2 if you have a 10% or greater ownership interest in the business entity.)

Schedule B: Report any piece of real property in which the value of your interest was \$2,000 or more during the reporting period.

Examples:

- Alice McSherry deposits \$500 per month into her employer’s deferred compensation program. She has chosen to purchase shares in two diversified mutual funds registered with the Securities and Exchange Commission. Because her funds are invested solely in non-reportable mutual funds (see Schedule A-1 instructions), Alice has no disclosure requirements with regard to the deferred compensation program.
- Bob Allison has \$6,000 in an individual retirement account with an investment firm. The account contains stock in several companies doing business in his jurisdiction. One of his stock holdings, Misac Computers, reached a value of \$2,500 during the reporting period. The value of his investment in each of the other companies was less than \$2,000. Bob must report Misac Computers as an investment on Schedule A-1 because the value of his stock in that company was \$2,000 or more.
- Adriane Fisher has \$5,000 in a retirement fund that invests in real property located in her jurisdiction. The value of her interest in each piece of real property held in the fund was less than \$2,000 during the reporting period. Although her retirement fund holds reportable assets, she has no disclosure requirement because she did not have a \$2,000 or greater interest in any single piece of real property. If, in the future, the value of her interest in a single piece of real property reaches or exceeds \$2,000, she will be required to disclose the real property on Schedule B for that reporting period.

Trusts: Investments and interests in real property held and income received by a trust (including a living trust) are reported on Schedule A-2 if you, your spouse or registered domestic partner, and your dependent children together had a 10% or greater interest in the trust and your pro rata share of a single investment or interest in real property was \$2,000 or more.

You have an interest in a trust if you are a trustor and:

- Can revoke or terminate the trust;
- Have retained or reserved any rights to the income or principal of the trust or retained any reversionary or remainder interest; or
- Have retained any power of appointment, including the power to change the trustee or the beneficiaries.

Terms & Definitions - (continued)

Or you are a beneficiary and:

- Presently receive income; or
- Have an irrevocable future right to receive income or principal. (See FPPC Regulation 18234 for more information.)

Examples:

- Sarah Murphy has set up a living trust that holds her principal residence, stock in several companies that do business in her jurisdiction, and a rental home in her agency's jurisdiction. Since Sarah is the trustor and can revoke or terminate the trust, she must disclose any stock worth \$2,000 or more and the rental home on Schedule A-2. Sarah's residence is not reportable because it is used exclusively as her personal residence.
- Ben Yee is listed as a beneficiary in his grandparents' trust. However, Ben does not presently receive income from the trust, nor does he have an irrevocable future right to receive income or principal. Therefore, Ben is not required to disclose any assets contained in his grandparents' trust.

Blind Trusts:

A blind trust is a trust managed by a disinterested trustee who has complete discretion to purchase and sell assets held by the trust. If you have a direct, indirect, or beneficial interest in a blind trust, you may not be required to disclose your pro rata share of the trust's assets or income. However, the trust must meet the standards set out in FPPC Regulation 18235, and you must disclose reportable assets originally transferred into the blind trust and income from those original assets on Schedule A-2 until they have been disposed of by the trustee.

Trustees:

If you are only a trustee, you do not have a reportable interest in the trust. However, you may be required to report the income you received from the trust for performing trustee services.

Wedding Gifts: Wedding gifts must be disclosed if they were received from a reportable source during the period covered by the statement. Gifts valued at \$50 or more are reportable; however, a wedding gift is considered a gift to both spouses equally. Therefore, you would count one-half of the value of a wedding gift to determine if it is reportable and need only report individual gifts with a total value of \$100 or more, unless a particular gift can only be used by you or is intended only for your use.

For example, you receive a place setting of china valued at \$150 from a reportable source as a wedding gift. Because the value to you is \$50 or more, you must report the gift on Schedule D, but may state its value as \$75.

Wedding gifts are not subject to the \$420 gift limit, but they are subject to the \$10 lobbyist/lobbying firm gift limit for state officials.

Privacy Information Notice

Information requested on all FPPC forms is used by the FPPC to administer and enforce the Political Reform Act (Gov. Code Sections 81000-91014 and California Code of Regulations Sections 18109-18997). All information required by these forms is mandated by the Political Reform Act. Failure to provide all of the information required by the Act is a violation subject to administrative, criminal, or civil prosecution. All reports and statements provided are public records open for public inspection and reproduction.

If you have any questions regarding this Privacy Notice or how to access your personal information, please contact the FPPC at:

General Counsel
Fair Political Practices Commission
428 J Street, Suite 620
Sacramento, CA 95814
(916) 322-5660
(866) 275-3772

Instructions for Completing Form 700-U

CALIFORNIA
FORM 700-U

Who Files Form 700-U?

This form must be filed by all persons employed by UC or CSU who have principal responsibility for a research project if the project is to be 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 nongovernmental entity.

Reporting requirements are outlined in Regulation 18755. This regulation provides that research funding by certain nonprofit entities will not trigger disclosure. This regulation is available on the FPPC website.

What is the Reporting Period?

For "initial" statements, before the final acceptance of the contract, grant, or gift, the filer must report investments in and business positions with the sponsor as of the date that the award is made, and income and gifts received from the sponsor within the 12 months prior to the date that the award is made.

For "interim" statements, the filer must submit a statement within 30 days after the contract, grant, or gift is renewed that discloses reportable investments, income and business positions that the filer held or received during the period between the date the initial statement was filed and the date the project contract, grant, or gift was renewed.

What is an Investment?

"Investment" means any financial interest in a business entity in which you, your spouse or registered domestic partner, or your dependent children have a direct, indirect, or beneficial interest totaling \$2,000 or more. Reportable investments include stocks, bonds, warrants, and options, including those held in margin or brokerage accounts and investment funds. Common examples of investment funds are index funds, exchange-traded funds, and venture capital funds. (See Gov. Code Section 82034.)

What is Income?

"Income" means a payment received, including but not limited to any salary, wage, advance, dividend, interest, rent, proceeds from any sale, gift, including any gift of food or beverage, loan forgiveness or payment of indebtedness received by the filer, reimbursement for expenses, per diem, or contribution to an insurance or pension program paid by any person other than an employer, and any community property interest in income of a spouse or registered domestic partner. Income also includes an outstanding loan. Income of an individual also includes a pro rata share of any income of any business entity or trust in which the individual, spouse, or registered domestic partner owns directly, indirectly, or beneficially, a 10% interest

or greater. Income includes your gross income and your community property interest in your spouse's or registered domestic partner's gross income totaling \$500 or more. Gross income is the total amount of income before deducting expenses, losses, or taxes. (See Gov. Code Section 82030.)

What is a Loan?

Loans received or outstanding are reportable if they total \$500 or more from a single lender. Your community property interest in loans received by your spouse or registered domestic partner also must be reported. (See Gov. Code Section 82030(a).)

What is a Gift?

A gift is anything of value for which you have not provided equal or greater consideration to the donor. A gift is reportable if its fair market value is \$50 or more. In addition, multiple gifts totaling \$50 or more received from a reportable source must be reported.

It is the acceptance of a gift, not the ultimate use to which it is put, that imposes your reporting obligation. Therefore you must report a gift even if you never used it or if you gave it away to another person.

If the exact amount of a gift is not known, you must make a good faith estimate of the item's fair market value. Listing the value of a gift as "over \$50" or "value unknown" is not adequate disclosure.

Commonly reportable gifts include:

- Tickets/passes to sporting or entertainment events
- Tickets/passes to amusement parks
- Parking passes
- Food, beverages, and accommodations, including that provided in direct connection with your attendance at a convention, conference, meeting, social event, meal, or like gathering, where you did not give a speech, participate in a panel or seminar, or provide a similar service
- Rebates/discounts not made in the regular course of business to members of the public without regard to official status
- Wedding gifts
- An honorarium. You may report an honorarium as income rather than as a gift if you provided services of equal or greater value than the payment received.
- Transportation and lodging
- Forgiveness of a loan received by you

(See Gov. Code Section 82028.)

STATEMENT OF ECONOMIC INTERESTS
FOR
PRINCIPAL INVESTIGATORS
A Public Document

Date Received _____
 Campus Use Only

Campus: _____

ID No: _____

Please type or print in ink.

NAME (LAST)	(FIRST)	(MIDDLE)	TELEPHONE NUMBER
			()
ACADEMIC UNIT OR DEPARTMENT	MAIL CODE	E-MAIL ADDRESS	
TITLE OF RESEARCH PROJECT			

1. Information Regarding Funding Entity

(Use a separate Form 700-U for each funding entity.)

Name of Entity: _____

Address of Entity: _____

Principal Business of Entity: _____

Amount of Funding: \$ _____

Estimated Actual

2. Type of Statement (Check at least one box)

Initial (for new funding)

Date of initial funding: ____/____/____

Interim (for renewed funding)

Funding was renewed on: ____/____/____

Completion Statement (CSU Required) Project ended: ____ ____ ____

3. Filer Information

A. Are you a director, officer, partner, trustee, consultant, employee, or do you hold a position of management in the entity listed in Part 1? No Yes

Title: _____

B. Do you, your spouse or registered domestic partner, or your dependent children have an investment of \$2,000 or more in the entity listed in Part 1 above? No Yes - value is:

\$2,000 - \$10,000 \$10,001 - \$100,000
 \$100,001 - \$1,000,000 Exceeds \$1,000,000

Date Disposed: ____/____/____, if applicable

C. Have you received income of \$500 or more from the entity listed in Part 1 during the reporting period? No Yes - amount is:

\$500 - \$1,000 \$1,001 - \$10,000
 \$10,001 - \$100,000 Exceeds \$100,000

Was this income received through your spouse or registered domestic partner? No Yes

3. Filer Information - Cont.

D. Have you received loans from the entity in Part 1 for which the balance exceeded \$500 during the reporting period? No Yes - highest balance:

\$500 - \$1,000 \$1,001 - \$10,000
 \$10,001 - \$100,000 Exceeded \$100,000

If you checked "yes," was the loan:

Secured Unsecured Interest rate: _____%

Was the loan entirely repaid within the last 12 months?

No Yes

E. Have you received gifts from the entity listed in Part 1 within the last 12 months valued at \$50 or more? No Yes - describe below.

Description: _____

Value: \$ _____ Date Received: ____/____/____

F. Has the entity in Part 1 paid for your travel during the reporting period? No Yes - describe below.

Type of Payment: (check one) Gift Income

Amt: \$ _____ date(s): ____/____/____ ____/____/____
 (If applicable)

Description: _____

4. Verification

I have used all reasonable diligence in preparing this statement. I have reviewed this statement and to the best of my knowledge the information contained herein and in any attached schedules is true and complete. I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Date Signed _____
 (month, day, year)

Signature _____
 (File the originally signed statement with your university.)

Instructions for Completing Form 700-U (continued)

What is a Travel Payment?

Travel payments include advances and reimbursements for travel and related expenses, including lodging and meals.

- Travel payments are **gifts** if you did not provide services which were equal to or greater in value than the payments received. You must disclose gifts totaling \$50 or more from a single source during the period covered by the statement. Gifts of travel are reportable without regard to where the donor is located.

When reporting travel payments which are gifts, you must provide a description of the gift and the date(s) received.

- Travel payments are **income** if you provided services which were equal to or greater in value than the payments received. You must disclose income totaling \$500 or more from a single source during the period covered by the statement. The filer has the burden of proving the payments are income rather than gifts.

When reporting travel payments as income, you must describe the services you provided in exchange for the payment. You are not required to disclose the date(s) for travel payments which are income.

Gifts of travel may be subject to a \$420 gift limit. In addition, certain travel payments are reportable gifts, but are not subject to the gift limit. See the FPPC fact sheet entitled "Limitations and Restrictions on Gifts, Honoraria, Travel, and Loans," which can be obtained from the FPPC at www.fppc.ca.gov.

You are not required to disclose:

- Travel payments received from any state, local, or federal government agency for which you provided services equal or greater in value than the payments received
- Travel payments received from your employer in the normal course of your employment
- Payments for admission to an event at which you make a speech, participate on a panel, or make a substantive formal presentation, transportation, and necessary lodging, food, or beverages, and nominal non-cash benefits provided to you in connection with the event so long as both the following apply:

- The speech is for official agency business and you are representing your government agency in the course and scope of your official duties.
- The payment is a lawful expenditure made only by a federal, state, or local government agency for purposes related to conducting that agency's official business.

Note: This exception does not apply to state or local elected officers and officials specified in Section 87200.

- A travel payment that was received from a non-profit entity exempt from taxation under Internal Revenue Service Code Section 501(c)(3) for which you provided equal or greater consideration

Check the box to indicate if the payment was a gift or income, report the amount, and disclose the date(s) if applicable.

Violations

Failure to file the required Statement of Economic Interests or failure to report a financial interest may subject a principal investigator to civil liability, including fines, as well as University discipline. (Gov. Code Sections 81000-91014)

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General Counsel
Fair Political Practices Commission
428 J Street, Suite 620
Sacramento, CA 95814
(916) 322-5660

Limitations and Restrictions on Gifts, Honoraria, Travel and Loans

A Fact Sheet For

- Elected State Officers and Candidates for Elective State Office
- Members of State Boards and Commissions
- Designated Employees of State Government Agencies
- State Officials Who Manage Public Investments

California Fair Political
Practices Commission

Toll-free advice line: 1 (866) ASK-FPPC
Website: www.fppc.ca.gov

Introduction

The Political Reform Act¹ (the “Act”) imposes limits on gifts, prohibits honoraria payments², and imposes limits and other restrictions on the receipt of travel payments and personal loans by the following state officials:

- Elected state officers, candidates for elective state office, and other state officials specified in Government Code section 87200³
- Members of state boards and commissions
- Designated employees of state agencies (i.e., officials and employees of state agencies who file statements of economic interests (Form 700) under their agency’s conflict-of-interest code)

This fact sheet summarizes the major provisions of the Act concerning gifts, honoraria, travel and loans. You should not, however, rely on the fact sheet alone to ensure compliance with the Act. If you have any questions, contact the Fair Political Practices Commission at (866) ASK-FPPC or visit our website at www.fppc.ca.gov. Commission advice letters are available on our website.

Ethics Training

Most state agency officials are required to complete an ethics training course. Contact your agency for course information. Also see the FPPC website for a link to state agency ethics training.

Enforcement

Failure to report gifts, honoraria, loans, and travel payments may result in monetary penalties of up to \$5,000 per violation. (Section 83116.)

¹ Government Code Sections 81000-91014. Commission regulations appear at 2 California Code of Regulations Section 18000, et seq.

² The gift limit and honoraria prohibition do not apply to judges (although they do apply to candidates for judicial office) or to any part-time member of the governing board of any public institution of higher education, unless the member is also an elected official. (Sections 89502 and 89503.)

³ State officials specified in Section 87200 include elected state officers, candidates for elective state office, members of the Public Utilities Commission, Energy Resources Conservation and Development Commission, Fair Political Practices Commission, and California Coastal Commission, and officials who manage public investments.

Gifts

Limitations

Elected state officers, candidates for elective state office, and other state agency officials and employees are subject to two gift limits:

1. Elected state officers, candidates for elective state office, and designated employees of the legislature may not accept gifts aggregating more than \$10 in a calendar month from any single lobbyist or lobbying firm. State agency officials, including board and commission members, officials who manage public investments, and employees, may not accept gifts aggregating more than \$10 in a calendar month from a single lobbyist or lobbying firm if the lobbyist or firm is registered to lobby the official or employee's agency. (Sections 86201-86204.)

2. Gifts from any other single source may not exceed \$420 in a calendar year. For officials and employees who file statements of economic interests (Form 700) under a state agency's conflict-of-interest code ("designated employees"), this limit applies only if the official or employee would be required to report income or gifts from that source on the Form 700, as outlined in the "disclosure category" portion of the agency's conflict-of-interest code. (Section 89503.)⁴

What is a "Gift"?

A "gift" is any payment or other benefit provided to you that confers a personal benefit for which you do not provide goods or services of equal

or greater value. A gift includes a rebate or discount in the price of anything of value unless the rebate or discount is made in the regular course of business to members of the public. (Section 82028.) (See FPPC Regulation 18946 for valuation guidelines.)

Except as discussed below, you have "received" or "accepted" a gift when you know you have actual possession of the gift or when you take any action exercising direction or control over the gift, including discarding the gift or turning it over to another person. (Regulation 18941.)

In some cases, a gift to an official's family member* is considered a gift to the official. This rule prevents donors from exceeding the limits on gifts to an official by giving gifts to the official's family members instead. Under the rule, when a donor gives a single gift, such as a painting for the home, to an official and family member, it is a gift to the official in its full amount. (See Regulation 18944, effective February 10, 2010.) (Wedding gifts are treated specially - see Page 6.)

State Officials Holding Positions Listed in Government Code Section 87200.

If the family member of a state official holding a position listed in Government Code Section 87200 receives a gift from a registered state lobbyist, or a state-registered lobbying firm or lobbyist employer, the following rules apply: (1) There is a gift to the official for its full value if the official will receive a financial benefit from the

⁴ Section 89503 provides for a biennial adjustment to the gift limit to reflect changes in the Consumer Price Index. For 2009-2010, the gift limit is \$420. (Section 89503; Regulation 18940.2.) Gifts from a single source that aggregate \$50 or more must be disclosed, and gifts aggregating \$420 or more received by an official may subject the official to disqualification with respect to the source (Section 87103(e).) Designated employees should obtain a copy of their conflict-of-interest code from their agency. Some conflict-of-interest codes require very limited disclosure of income and gifts. If your agency's conflict-of-interest code requires you to disclose income and gifts only from specified sources, gifts from sources that are not required to be disclosed are not subject to the \$420 gift limit.

gift (defined as including something that a family would normally pay for in providing care and support to a family member), uses the gift (other than minimal use), or controls the gift (such as asking for tickets for the family member); and (2) There is a gift to the official for its full value even if the official will not receive a financial benefit from, or use or control the gift, unless the official can show the lobbyist, lobbying firm or lobbyist employer has an established working, social, or similar relationship with the official's family member independent of its relationship with the official. (See Page 1 for a list of Section 87200 positions.)

Designated Employees, Members of Most State Boards. (State Officials Not Holding Positions Listed in Government Code Section 87200). If the family member of a state official receives a gift from any person, it is a gift to the official if the official will receive a financial benefit from the gift (defined as including something that a family would normally pay for in providing care and support to a family member), uses the gift (other than minimal use), or controls the gift (such as asking for tickets for the family member) and the official cannot show that the donor has an established working, social, or similar relationship with the official's family member independent of the donor's relationship with the official.

* For purposes of this rule, an official's "family member" includes: the official's spouse; registered domestic partner; any minor child of the official who the official can claim as a dependent for federal tax purposes; and a child of the official who is aged 18 to 23 years of age, attends school, resides with the official when not attending school, and provides less than one-half of his or her own support.

Exceptions

The Act and Commission regulations provide exceptions for certain types of gifts. (Section 82028; Regulations 18940-18946.5.)

The following are not subject to any gift limit and are not required to be disclosed on a statement of economic interests (Form 700):

1. Gifts which you return (unused) to the donor, or for which you reimburse the donor, within 30 days of receipt. (Section 82028(b)(2); Regulation 18943.)
 2. Gifts which you donate (unused) to a non-profit, tax-exempt (501(c)(3)) organization or a government agency within 30 days of receipt without claiming a deduction for tax purposes. (Section 82028(b)(2); Regulation 18943.)
 3. Gifts from your spouse, child, parent, grandparent, grandchild, brother, sister, parent-in-law, brother-in-law, sister-in-law, aunt, uncle, niece, nephew, or first cousin or the spouse of any such person, unless he or she is acting as an agent or intermediary for another person who is the true source of the gift. (Section 82028(b)(3); Regulation 18942(a)(3).)
 4. Gifts of hospitality including food, drink or occasional lodging which you receive in an individual's home when the individual or a member of his or her family is present. (Regulation 18942(a)(7).) Such hospitality provided by a lobbyist is a gift if it is paid for or reimbursed by the lobbyist employer or if the lobbyist deducts the cost as a business expense. (Regulation 18630.)
 5. Gifts approximately equal in value exchanged between you and another individual (other than a lobbyist) on holidays, birthdays, or similar occasions to the extent that the gifts exchanged are not substantially disproportionate in value. (Regulation 18942(a)(8).)
 6. Informational material provided to assist you in the performance of your official duties, including books, reports, pamphlets, calendars, periodicals, videotapes, or free admission or discounts to informational conferences or seminars.
- "Informational material" may also include scale models, pictorial representations, maps,

and other such items, provided that if the item's fair market value is more than \$420, you have the burden of demonstrating that the item is informational. In addition, on-site demonstrations, tours, or inspections designed specifically for public officials are considered informational material, but this exception does not apply to meals or to transportation to the site unless the transportation is not commercially available. (Section 82028(b)(1); Regulations 18942(a)(1) and 18942.1.)

7. A devise or inheritance. (Section 82028(b)(5); Regulation 18942(a)(5).)

8. Campaign contributions, including rebates or discounts received in connection with campaign activities. (Section 82028(b)(4); Regulation 18942(a)(4).) However, campaign contributions must be reported in accordance with the campaign disclosure provisions of the Act and may be subject to the contribution limitations imposed by the Act.

9. Personalized plaques and trophies with an individual value of less than \$250. (Section 82028(b)(6); Regulation 18942(a)(6).)

10. A single ticket or other admission privilege, for your own use, to attend a fundraiser for a campaign committee or candidate, or to a fundraiser for an organization exempt from taxation under Section 501(c)(3) of the Internal Revenue Code. The ticket may only be received from the organization or committee holding the fundraiser. The nondeductible value of a ticket to a 501(c)(3) fundraiser may not exceed the gift limit. (Regulation 18946.4.)

11. Passes or tickets that provide admission or access to facilities, goods, services, or other benefits (either on a one-time or repeated basis) that you do not use and do not give to another person. (Regulation 18946.1.)

12. Gifts provided to your government agency. This may include passes or tickets to facilities, goods, or services, travel payments, and other benefits. However, this exception

does not apply to elected officials and officials specified in Government code Section 87200 (see page 1) with regard to travel payments. In addition, certain other conditions must be met before a gift received by an official through his or her agency would not be considered a gift to the official. An agency must disclose specified payments on its website. (Regulations 18944.1-18944.3.) Contact the FPPC for detailed information.

13. Generally, payments made by a third party to co-sponsor an event, or that is principally legislative, governmental or charitable in nature. (See Page 5.)

14. Leave credits (e.g., sick leave or vacation credits) received under a bona fide catastrophic or emergency leave program established by your employer and available to all employees in the same job classification or position. Donations of cash are gifts and are subject to limits and disclosure. (Regulation 18942(a)(9).)

15. Food, shelter, or similar assistance received in connection with a disaster relief program. The benefits must be received from a governmental agency or charity and must be available to the general public. (Regulation 18942(a)(10).)

16. Items awarded in an employee raffle, received by the agency from an agency employee who is not acting as an intermediary for another donor. This exception applies when an agency holds an employee raffle and the item awarded in the raffle has been obtained with agency funds, or is otherwise an asset of the agency and not donated to the agency by a non-agency source. This exception does not apply to passes or tickets of the type described in Regulation 18944.1. (Regulation 18944.4.(a) and (b).)

17. Items received by an employee during an employee gift exchange, so long as the item received is provided by another employee of the agency and the gifts are not substantially

disproportionate in value. (Regulation 18944.4(c).)

Gifts Reported by the Official's Agency

The following exceptions are also applicable to gifts, but the official's agency may be required to report these items on a Form 801 or Form 802 instead of the official reporting the items on a statement of economic interests (Form 700).

Form 801: For an item to be considered a gift to the official's agency instead of a gift to the official, the payment (or item) must provide a personal benefit to a public official, such as a travel payment; and, in order for an agency to convert the payment into an agency gift, the payment may only be used for official agency business and the agency must control the payment. If the payment meets these requirements, the agency must report it on a Form 801 and the item is not reported on the individual's statement of economic interests (Form 700). (Regulation 18944.2.)

Form 802: When an official's agency provides an entertainment or sporting ticket or pass to a public official in order for it not to be reported on the individual's statement of economic interests (Form 700), the agency must have a written policy stating the public purpose for distribution of the tickets prominently posted on the agency website. The ticket or pass cannot be earmarked by the original source for use by a particular agency official, the agency must determine, in its sole discretion, which official may use the ticket or pass. The official's name will be identified on the agency's website on the Form 802 along with the source of the ticket. (Regulation 18944.1.)

Behested Payments

The following payments are not considered gifts, but a state elected official may be required to report these items on a Form 803.

Form 803: Behested payments are payments made principally for legislative, governmental, or charitable purposes. These payments are not for personal or campaign purposes. For example, an elected official may ask a third party to contribute funds to a school in his district, or to a job fair or health fair. Generally, a donation will be "made at the behest" if it is requested, solicited, or suggested by the elected officer, or otherwise made to a person in cooperation, consultation, coordination with, or at the consent of, the elected officer. This includes payments behested on behalf of the official by his or her agent or employee. Behested payments totaling \$5,000 or more from a single source in a calendar year must be disclosed by the official on a Form 803, which is filed with the official's agency within 30 days of the date of the payment(s). (Section 82015.)

Reportable Gifts Not Subject to Limits

The following exceptions are also applicable to gifts, but you may be required to report these items on a statement of economic interests (Form 700) and they can subject you to disqualification:⁵

1. Certain payments for transportation, lodging, and subsistence. Travel payments are discussed below. See Regulation 18946.6 to determine the value of gifts of air transportation.
2. Wedding gifts are not subject to the \$420 gift limit, but they are subject to the \$10 lobbyist/lobbying firm gift limit. In addition, wedding gifts are reportable. However, for purposes of valuing wedding gifts, one-half of the value of each gift is attributable to each spouse, unless the gift is intended exclusively for the use and enjoyment of one spouse, in which case the entire value of the gift is attributable to that individual. (Regulation 18946.3.)
3. A prize or award received in a bona fide competition not related to your official status is not subject to the gift limit, but must be reported as income. Therefore, it is reportable if the value of the prize or award is \$500 or more. (Section 87207; Regulation 18946.5.)

⁵ Designated employees should consult the “disclosure category” portion of their agency’s conflict-of-interest code to determine if a particular source of income or gifts must be disclosed.

Honoraria

The Prohibition

State officials specified in Government Code Section 87200 (see page 1) are prohibited from receiving honoraria payments. Officials and employees of state agencies who file statements of economic interests (Form 700) under the agency's conflict-of-interest code ("designated employees") may not receive honoraria payments from any source if the employee would be required to report income or gifts from that source on the Form 700, as outlined in the "disclosure category" portion of the conflict-of-interest code. (Section 89502.)

What is an "Honorarium"?

An "honorarium" is any payment made in consideration for any speech given, article published, or attendance at any public or private conference, convention, meeting, social event, meal, or like gathering. (Section 89501.)

A "speech given" means a public address, oration, or other form of oral presentation, including participation in a panel, seminar, or debate. (Regulation 18931.1.)

An "article published" means a nonfictional written work: 1) that is produced in connection with any activity other than the practice of a bona fide business, trade, or profession; and 2) that is published in a periodical, journal, newspaper, newsletter, magazine, pamphlet, or similar publication. (Regulation 18931.2.)

"Attendance" means being present during, making an appearance at, or serving as host or master of ceremonies for any public or private conference, convention, meeting, social event, meal, or like gathering. (Regulation 18931.3.)

Exceptions

The Act and Commission regulations provide certain exceptions to the prohibition on honoraria. (Section 89501; Regulations 18930-18933.) The payments described below are not

prohibited and are not required to be disclosed on a statement of economic interests (Form 700):

1. An honorarium that you return (unused) to the donor or the donor's agent or intermediary within 30 days. (Section 89501(b); Regulation 18933.)

2. An honorarium that is delivered to the State Controller within 30 days for donation to the General Fund for which you do not claim a deduction for income tax purposes. (Section 89501(b); Regulation 18933.)

3. A payment that is not delivered to you but is made directly to a bona fide charitable, educational, civic, religious, or similar tax-exempt, non-profit organization. However:

- You may not make the donation a condition for your speech, article, or attendance;
- You may not claim the donation as a deduction for income tax purposes;
- You may not be identified to the non-profit organization in connection with the donation; and
- The donation may have no reasonably foreseeable financial effect on you or on any member of your immediate family. (Regulation 18932.5.)

4. A payment received from your spouse, child, parent, grandparent, grandchild, brother, sister, parent-in-law, brother-in-law, sister-in-law, nephew, niece, aunt, uncle, or first cousin, or the spouse of any such person. However, a payment that would be considered an honorarium is prohibited if one of these persons is acting as an agent or intermediary for someone else. (Regulation 18932.4(b).)

5. Items 6, 8, and 9 under "Exceptions to the Definition of 'Gift'," discussed earlier in this fact sheet. (Regulation 18932.4.)

Exceptions That May Be Reportable As Income or Gifts

The following payments are not considered “honoraria” but may be reportable and can subject you to disqualification:⁶

1. Payments received for a comedic, dramatic, musical, or other similar artistic performance, and payments received for the publication of books, plays, or screenplays. (Regulation 18931.1-18931.2.) However, such payments are reportable income.
2. Income earned for your personal services if the services are provided in connection with a bona fide business, trade, or profession — such as teaching, practicing law, medicine, insurance, real estate, banking, or building contracting — and the services are customarily provided in connection with the business, trade, or profession.

This exception does not apply if the sole or predominant activity of the business, trade, or profession is making speeches. In addition, you must meet certain criteria to establish that you are conducting or in a bona fide business, trade, or profession (such as maintenance of business records, licensure, proof of teaching position) before a payment received for personal services which may meet the definition of honorarium would be considered earned income and not an honorarium. (Section 89501(b); Regulations 18932-18932.3.) Earned income is required to be reported. Contact the FPPC for detailed information.

3. Certain payments for transportation, lodging, and subsistence are not considered honoraria but may be reportable and subject to the gift limit. (Sections 89501(c) and 89506.) Travel payments are discussed below.

⁶ Designated employees should consult the “disclosure category” portion of their agency’s conflict-of-interest code to determine if a particular source of income or gifts must be disclosed.

Travel Payments

The Act and Commission regulations provide exceptions to the gift limit and honoraria prohibition for certain types of travel payments. (Section 89506; Regulations 18950-18950.4.)

The term “travel payment” includes payments, advances, or reimbursements for travel, including actual transportation, parking and related lodging and subsistence. (Section 89506(a).)

Exceptions

The following types of travel payments are not prohibited or subject to any limit and are not reportable on a statement of economic interests (Form 700):

1. Free admission to an event at which you make a speech, participate on a panel, or make a substantive formal presentation, transportation, and necessary lodging, food, or beverages⁷, and nominal non-cash benefits provided to you in connection with the event so long as:
 - a. The speech is for official agency business and the official is representing his or her government agency in the course and scope of his or her official duties; and
 - b. The payment is a lawful expenditure made only by a federal, state, or local government agency for purposes related to conducting that agency’s official business.

The exception does not apply to state or local elected officers and officials specified in Section 87200. (Regulation 18950.3(b), effective March/April 2010.)

2. Travel payments provided to you by the State of California or by any state, local, or federal government agency which would be considered income and not a gift (i.e., payments for which you provide equal or greater consideration). (Section 89506(d)(2); Regulation 18950.1(d).)

3. Reimbursements for travel expenses provided to you by a bona fide non-profit, tax-exempt (501(c)(3)) entity for which you provide equal or greater consideration. (Section 82030(b)(2).)

4. Travel payments provided to you directly in connection with campaign activities. However, these payments must be reported in accordance with the campaign disclosure provisions of the Act. (Regulations 18950.1(c); 18950.4.)

5. Any payment for travel that is excluded from the definition of “gift” as discussed earlier in this fact sheet.

Reportable Payments Not Subject to Limit

The following travel payments are not prohibited or subject to the \$420 gift limit, but may be reportable on a statement of economic interests (Form 700).⁸ If the travel payment would otherwise be considered a gift under the Act (i.e., you did not provide equal or greater consideration for the payment), the payment would be subject to the \$10 lobbyist/lobbying firm gift limit.⁹

1. Travel that is reasonably necessary in connection with a bona fide business, trade, or profession, and which satisfies the criteria

⁷ Lodging, food, or beverages are “necessary” only when provided on the day immediately preceding, the day(s) of, and the day immediately following the speech, panel, seminar, or similar service.

⁸ Designated employees should consult the “disclosure category” portion of their agency’s conflict-of-interest code to determine if a particular source of income or gifts must be disclosed.

⁹ Under Article IV, Section 4(a), and Article V, Section 14(a), of the California Constitution, elected state officers are prohibited from receiving salary, wages, commissions or other earned income from a lobbyist, lobbying firm or person who, during the previous 12 months, has been under a contract with the Legislature.

Travel Payments

for federal income tax deductions for business expenses specified in Sections 162 and 274 of the Internal Revenue Code. (Section 89506(d)(3); Regulation 18950.1(e).) For reporting purposes, these travel payments would be considered part of the salary, wages, and other income received from the business entity and would be reported on Schedule A-2 or C of Form 700.

2. Travel within the United States that is reasonably related to a legislative or governmental purpose — or to an issue of state, national, or international public policy — in connection with an event at which you give a speech, participate in a panel or seminar or provide a similar service. Lodging and subsistence expenses in this case are limited to the day immediately preceding, the day of, and the day immediately following the speech, panel, or other similar service. (Section 89506(a)(1); Regulation 18950.1(a)(2).)

Note that this exception is different than travel payments described earlier. Under the circumstances described in this paragraph, transportation within the United States is not subject to the \$420 gift limit, but is reportable and can subject a public official to disqualification. Payments are also subject to the lobbyist \$10 gift limit.

As discussed earlier, most state employees and most individuals serving on state boards are not required to report travel payments paid by a governmental agency in the course of employment. (Regulation 18950.3, March/April 2010.)

3. Travel not in connection with giving a speech, participating in a panel or seminar, or providing a similar service, but which is reasonably related to a legislative or governmental purpose, or to an issue of state, national, or international public policy, and which is provided by:

- A government, governmental agency, foreign government, or government authority;
- A bona fide public or private educational institution defined in Section 203 of the California Revenue and Taxation Code;
- A non-profit organization that is exempt from taxation under Section 501(c)(3) of the Internal Revenue Code; or
- A foreign organization that substantially satisfies the requirements for tax-exempt status under Section 501(c)(3) of the Internal Revenue Code.

(Section 89506(a)(2); Regulation 18950.1(b).)

Loans

Personal loans received by certain state officials are subject to limits and other restrictions, and in some circumstances, a personal loan that is not being repaid or is being repaid below certain amounts may become a gift to the official who received it.

Limitations on Loans from Agency Officials, Consultants, and Contractors

If you are an official specified in Section 87200 (see page 1) or you are exempt from the state civil service system pursuant to subdivisions (c), (d), (e), (f), or (g) of Section 4 of Article VII of the Constitution, you may not receive a personal loan that exceeds \$250 at any given time from an officer, employee, member, or consultant of your government agency or an agency over which your agency exercises direction and control. (Section 87460(a) and (b).)

In addition, you may not receive a personal loan that exceeds \$250 at any given time from any individual or entity that has a contract with your government agency or an agency over which your agency exercises direction and control. This limitation does not apply to loans received from banks or other financial institutions, and retail or credit card transactions, made in the normal course of business on terms available to members of the public without regard to your official status. (Section 87460(c) and (d).)

Loan Terms Applicable Only to Elected Officials

In addition to the limitations above, if you are an elected official, you may not receive a personal loan of \$500 or more unless the loan is made in writing and clearly states the terms of the loan. The loan document must include the names of the parties to the loan agreement, as well as the date, amount, interest rate, and term of the loan. The loan document must also include the date or dates when payments are due and the amount of the payments. (Section 87461.)

The following loans are not subject to these limits and documentation requirements:

1. Loans received by an elected officer's or candidate's campaign committee.
2. Loans received from your spouse, child, parent, grandparent, brother, sister, parent-in-law, brother-in-law, sister-in-law, nephew, niece, aunt, uncle, or first cousin, or the spouse of any such person unless he or she is acting as an agent or intermediary for another person not covered by this exemption.
3. Loans made, or offered in writing, prior to January 1, 1998. (Sections 87460 and 87461.)

Loans as Gifts

Under the following circumstances, a personal loan received by any public official (elected and other officials specified in Section 87200, as well as any other state official or employee required to file statements of economic interests) may become a gift and subject to gift reporting and limitations:

1. If the loan has a defined date or dates for repayment and has not been repaid, the loan will become a gift when the statute of limitations for filing an action for default has expired.
2. If the loan has no defined date or dates for repayment, the loan will become a gift if it remains unpaid when one year has elapsed from the later of:
 - The date the loan was made;
 - The date the last payment of \$100 or more was made on the loan; or
 - The date upon which you have made payments aggregating to less than \$250 during the previous 12 months. (Section 87462.)