

# University of California Office of the President Form 700- Statement of Economic Interests Filing Requirement

Managed by the Administrative Policies & Procedures Office

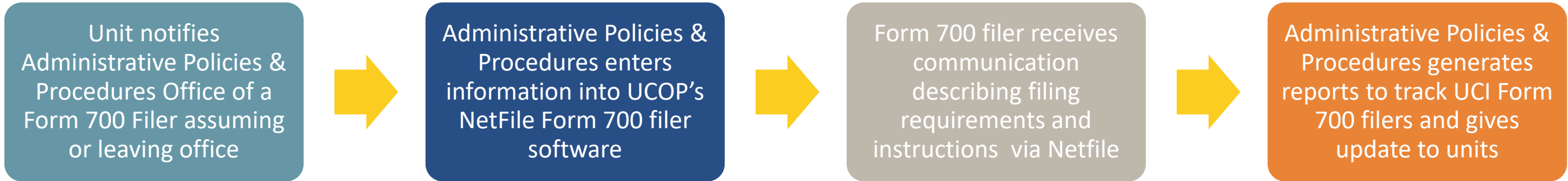
# UCOP Requirement

- The California Political Reform Act requires certain state and local government officials (including some University employees) to disclose their personal financial interests. The purpose of financial disclosure is to alert public officials to personal interests that might be affected while they are performing their official duties (i.e., making governmental decisions). Disclosure also helps inform the public about potential conflicts of interest.
- Disclosure is made on the Statement of Economic Interests (Form 700). The form must be filed annually. Filed forms are public documents that must be made available to anyone who requests them.
- Form 700 filing is separate from Form 700-U filing.
  - Form 700 is a filing requirement based on the duties associated with a position and can apply to both staff and faculty. It is managed by the Administrative Policies & Procedures (AP&P) Office.
  - Form 700-U is a filing requirement based on funding for a research project and mainly applies to principal investigators. It is managed by the Office of Research.

# UCI Fulfillment of Form 700

- AP&P works with each unit to ensure the list of Form 700 filers UCI forwards to UCOP is current and accurate.
- AP&P communicates with unit liaisons semi-annually to ensure that the unit's organizational chart and Form 700 filer information is accurate.
- AP&P sends reports to unit liaisons bi-weekly during the Form 700 filing period (last week of February- last week of April) notify units of their Form 700 compliance status.
- While disclosure is made on the Statement of Economic Interests (Form 700), AP&P does not facilitate this information. Filers disclose this information on NetFile, which goes directly to UCOP.
- Requests for Form 700 are facilitated through the UCOP Public Records Office.

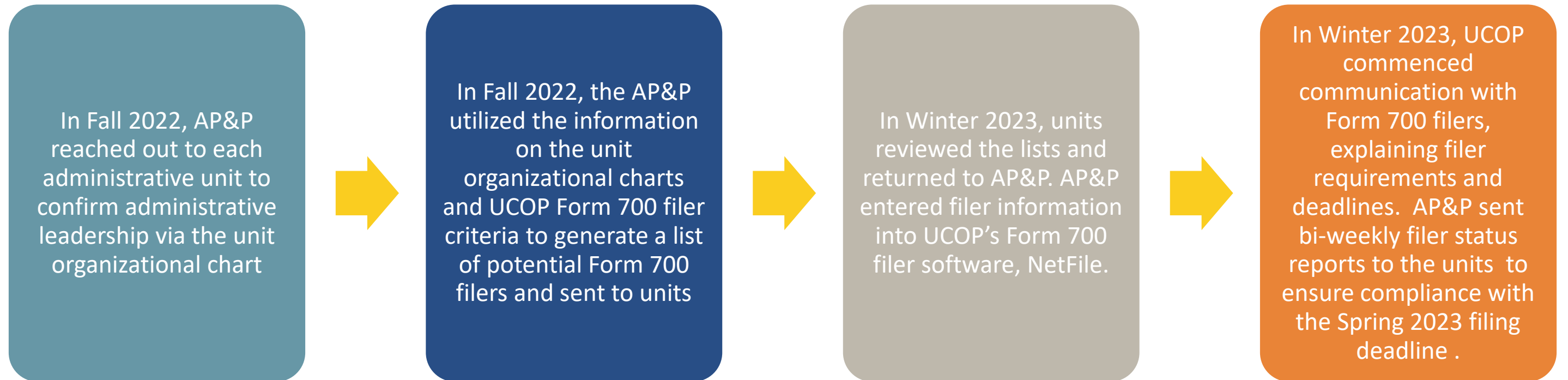
# General Form 700 Filer Communication between UCI and UCOP



# UCI Compliance Plan Rollout

## Phase 1- Administrative Unit Tier 1 Filers- completed Winter 2023

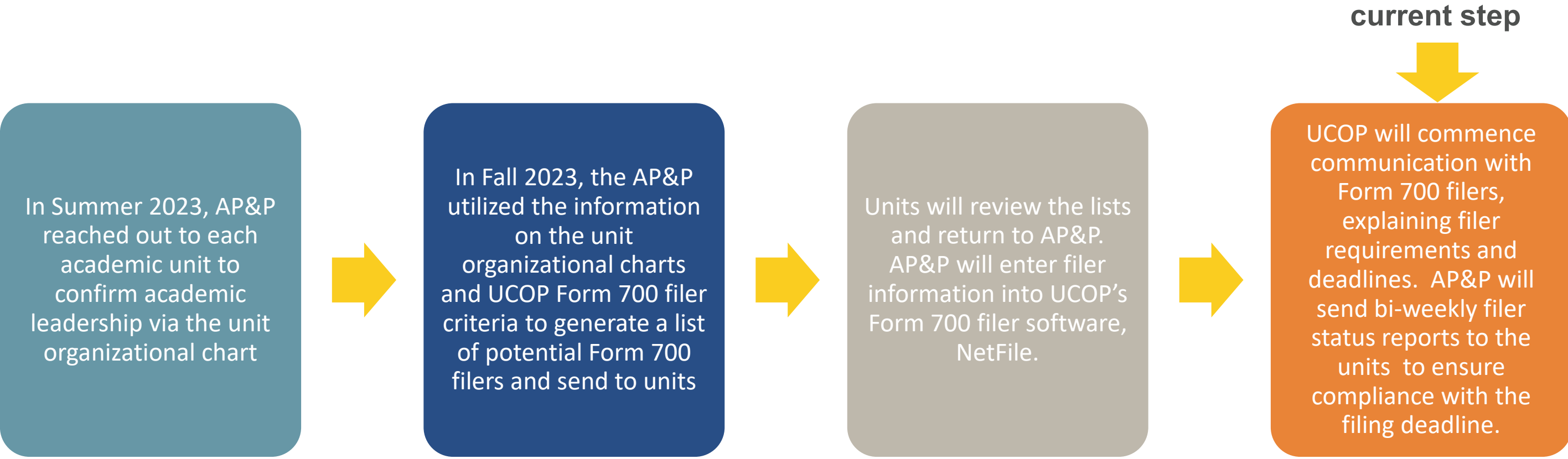
Tier 1 filers are all senior level administrators within a unit



# UCI Compliance Plan Rollout

## Phase 2- Academic Unit Tier 1 Filers- in progress

Tier 1 filers are all senior level administrators within a unit





# UCI Compliance Plan Rollout

## Phase 3- Administrative Unit Tier 2 Filers- anticipated for Fall 2025

Tier 2 filers are all other staff positions within a unit

In Fall 2025, AP&P will reach out all administrative units to confirm designated Form 700 filer positions based on information provided by UCOP via NetFile



In Fall 2025, AP&P will utilize the information from NetFile and UCOP Form 700 filer criteria to generate a list of potential Tier 2 Form 700 filers and sent to units



In Winter 2026, units will review the lists and returned to AP&P. AP&P entered filer information into UCOP's Form 700 filer software, NetFile.

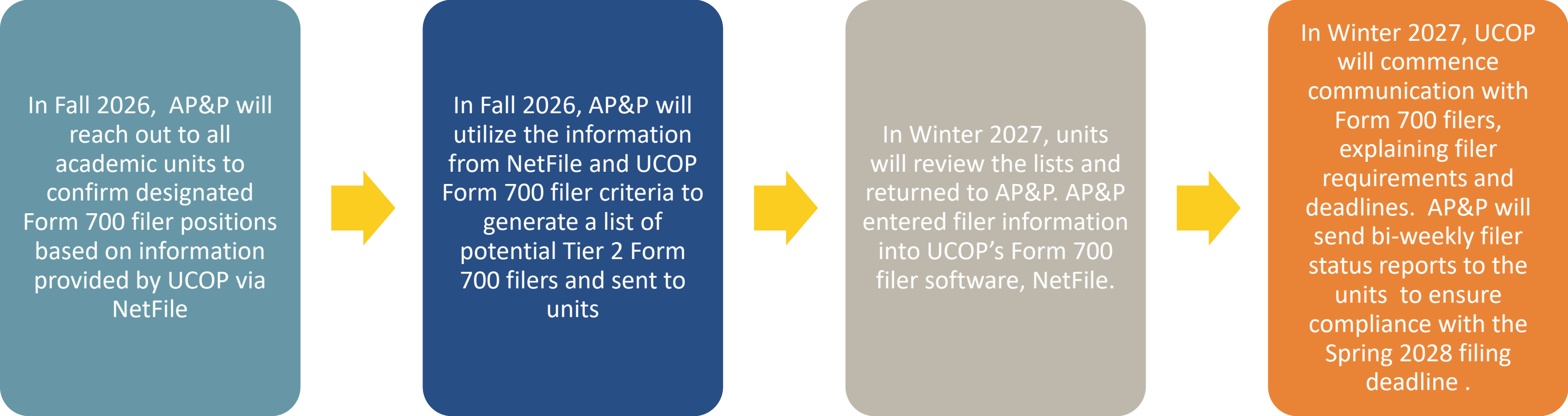


In Winter 2026, UCOP will commence communication with Form 700 filers, explaining filer requirements and deadlines. AP&P will send bi-weekly filer status reports to the units to ensure compliance with the Spring 2027 filing deadline .

# UCI Compliance Plan Rollout

## Phase 4- Academic Unit Tier 2 Filers- anticipated for Fall 2026

Tier 2 filers are all other staff positions within a unit





# General Guidance for Form 700 Filers

- [UCOP current Conflict of Interest Code](#)
  - Requires that all University employees recuse themselves from participating in decisions in which they have a personal financial interest
- [UCOP guidance on who must file](#)
  - UC employees in a designated position with authority to make regular financial decisions on behalf of the University
  - UC employees with purchasing abilities but do not have authority to make financial decisions are not required to file
- [UCOP designated positions and disclosure categories](#)
  - Positions include (but are not limited to) Dean, Assistant Dean, Associate Dean, Chief of Staff, Executive Director, Director, Manager and Administrator

# General Guidance for Form 700 Filers- Gifts

- [Reportable Gift Guidance](#)

- A gift can be any number of things, such as free tickets to a professional sporting event or performance, a meal paid for by a UC vendor, conference registration, a hotel room, a free airline ticket, or a discount given to you on the cost of a vacation home rental. *Note, UC athletic games and performances or other amateur events are not gifts.*
- In general, gifts from a single source with a total value of **\$50** or more must be reported, and a gift source can be a person, business, or organization.
- 2023-2024 gift limit is \$590. (2 C.C.R. § 18940.2.) Filers may not accept gifts from **any** single source totaling more than the gift limit in a calendar year.

# Administrative Policies & Procedures Office Contact Information

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Administrative Policies & Procedures website: [policies.uci.edu](http://policies.uci.edu)

UCI Conflict of Interest Guidance webpage: [policies.uci.edu/COI](http://policies.uci.edu/COI)