

**UNIVERSITY OF CALIFORNIA, DAVIS**  
**REPORT OF PROPOSED TRANSACTION INVOLVING**  
**POTENTIAL CONFLICT OF INTEREST**

**INSTRUCTIONS:** Required to be completed by any current employee or previous employee who proposes or whose near relative proposes to rent or sell goods or to provide services to the University. See reverse side for full policy statement.

*Completion of this report does not constitute authorization for work to begin or for services to be provided.*

<b>Name of Employee making report</b>	<b>Title of Employee making report</b>	<b>E-mail</b>
<b>Division/Department</b>	<b>Building/Room</b>	<b>Telephone</b>

Describe the goods or services offered to the University:

Are these goods and/or services available from other sources commercially?      Yes  No

**COMPLETE THE ITEM THAT APPLIES TO THE POTENTIAL CONFLICT:**

- I, \_\_\_\_\_, am a **current** or **previous** employee and propose to rent or sell goods or to provide services to the University.
- I am a current employee\* and my job title is \_\_\_\_\_
  - I separated from the university on \_\_\_\_\_ (Date of separation) and my job title was \_\_\_\_\_
    - While employed by the university, I was involved in the planning, negotiation, or execution of a university contract related to the goods or services I propose to provide.
    - I was employed, within the 12 month period prior to my separation, by the university department I propose to provide the goods or services to in a policymaking position in the same general subject area as the goods or services I propose to provide.

- I, \_\_\_\_\_, own or control more than 10% interest in a business which proposes to rent or sell goods or to provide services to the University.

<b>Name of Business</b>
<b>Nature of Interest</b>

- A near relative\* of mine proposes to rent or sell goods or to provide services to the University, as an independent contractor.

<b>Name of Relative</b>	<b>Relationship</b>
<b>Address</b>	

- A near relative\* of mine owns or controls more than 10% interest in a business which proposes to rent or sell goods or to provide services to the University.

<b>Name of Relative</b>	<b>Relationship</b>
<b>Address</b>	
<b>Name of Business</b>	<b>Nature of Interest</b>

I certify that no University time, material, equipment or facilities have been or will be used in connection with any resulting purchase order or contract.

I certify that I have not or will not make, or participate in the making of the University's decision to purchase the goods or services covered by this disclosure.

<b>Signature of Employee</b>	<b>Date</b>
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**APPROVALS**

<b>Employee's Department Head</b>	<b>Chief Procurement Officer or Designee</b>	<b>Other Administrative Approval</b>
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\* See second page for definitions

WHEN COMPLETED, ATTACH TO THE REQUISITION DOCUMENT, PROVIDE A COPY TO EMPLOYEE, AND A COPY TO THE DEPARTMENT.

# UNIVERSITY POLICY REGARDING EMPLOYEE-VENDOR RELATIONSHIPS

## DEFINITIONS:

**EMPLOYEE** - any individual who is presently employed by the University.

**NEAR RELATIVE** - spouse, child, parent, brother, sister, son-in-law, daughter-in-law, father-in-law, mother-in-law, brother-in-law, sister-in-law, and step relatives in the same relationship. Near relative also includes an employee's domestic partner or individual with one of the above relationships to the domestic partner.

**FORMER/SEPARATED EMPLOYEE** - an individual who has retired or separated from the University, was dismissed, or was otherwise formerly employed by the University.

**EMPLOYEE-VENDOR RELATIONSHIP** - a relationship in which an employee, or near relative, acts as an independent contractor for the purpose of renting or selling goods or providing services to the University or a relationship in which:

1. An employee, acting alone, proposes for a consideration to lease or sell goods or to provide services to a University department, or an employee owns or controls more than 10% interest in any business that proposes for a consideration to lease or sell goods or to provide services to a University department; or
2. A near relative of an employee, acting alone, proposes for a consideration to lease or sell goods or to provide services to a University department, or a near relative of an employee owns or controls more than 10% interest in any business that proposes for a consideration to lease or sell goods or to provide services to a University department, when the employee has, in any connection with his or her University employment, any responsibility for, or will be involved in any manner in, the departmental decision to accomplish or approve the transaction.
3. A former employee, acting alone, proposes for consideration to lease or sell goods or to provide services to a University department.

Former university employees are identified in [P&P 330-05](#) as:

- a. A former university employee cannot enter into a contract, for two years from the date of separation, to perform work related to contracts that were planned, negotiated, or executed by that employee.
- b. A former university employee cannot enter into a contract, for one year from the date of separation, to perform work on a contract if he or she was employed by that department in a policymaking position in the same general subject area as that contract.

## POLICY:

**SEPARATION OF INTERESTS** - It is the policy of the University to separate an employee's University and private interests, and to safeguard the University and its employees against charges of favoritism in acquisition of goods and services.

**CONFLICT OF INTEREST** - The State of California Political Reform Act prohibits an employee from making or participating in the making of a decision if a financial conflict of interest exists. Requirements governing such decision-making are set forth in the University's Conflict of Interest Code and shall be observed in purchases of goods and services by the University.

**DETERMINATION** - No purchase or lease of goods or contract for services shall be made from any employee or near relative unless there has been a specific determination by the Director of Contracting Services, or designee, that the goods or services are not available either from commercial sources or from the University's own facilities.

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## PRIVACY NOTIFICATION

The State of California Information Practices Act of 1977 requires the University to provide the following information to individuals who are asked to provide information about themselves.

The principal purpose for requesting the information on this form is to determine any possible conflict of interest which might be involved in a proposed University transaction. University policy authorizes maintenance of this information.

Furnishing all information required on this form is mandatory - failure to provide such information will delay or may even prevent completion of the action for which the form is being filled out. Information furnished on this form may be used by various University departments as required in the regular course of business and will be transmitted to the state and federal governments if required by law.

You have the right to review personal information maintained about you in accordance with University policy and may contact the office of record maintaining such information.

The official responsible for maintaining the information contained on this form is the Director of Contracting Services, University of California, Davis, One Shields Ave, Davis, CA 95616.

For Policy and Procedure related to conflict of interest, please refer to: [Employee Vendor Transactions \(350-90\)](#) and [Business Contracts \(330-05\)](#).