



Southern California Library Cooperative
Administrative Council Meeting
December 1, 2021
2:15-4:15pm
Hybrid Meeting – In-Person and Virtual
In Person Meeting:
Glendale Central Library 222 E. Harvard St., Glendale, CA 91205

Via Zoom:

<https://us02web.zoom.us/j/89083867298?pwd=NjZDY1FzWWJPNFh5ZGJPTHZ0THp4dz09>

Meeting ID: 890 8386 7298

Passcode: 148139

AGENDA

All items may be considered for action.

1. Opening Elizabeth Goldman
3 minutes
 - a. Chairperson's Welcome
 - b. Roll Call

2. Public Comment
5 minutes
Opportunity for any guest or member of the public to address the Council on any item of SCLC business.

3. Consent Calendar Elizabeth Goldman
4 minutes
All items on the consent calendar may be approved by a single motion. Any Council member may request an item be removed from the consent calendar and placed on the agenda for discussion.
 - a. Minutes of the August 25, 2021 Administrative Council meeting
 - b. Section 115 Trust Account - CEPPT

4. Adoption of Agenda Elizabeth Goldman
1 minute

Southern California Library Cooperative
254 North Lake Avenue #874 • Pasadena, California 91101
(626) 283-5949 • Fax (626) 283-5949
Website: <http://www.socallibraries.org> • E-mail: sclcadmin@socallibraries.org

- | | |
|---|-------------------|
| 5. Budget Status Report FY2021/22
<i>5 minutes</i> | Carol Dinuzzo |
| 6. LAIF Resolution
<i>5 minutes</i> | Carol Dinuzzo |
| 7. Grant Award Status
<i>8 minutes</i> | Diane Bednarski |
| 8. Strategic Planning
<i>20 minutes</i> | Diane Bednarski |
| 9. AB 361
<i>15 minutes</i> | Diane Bednarski |
| 10. Committee Reports | |
| a. Technology Committee
<i>5 Minutes</i> | Nikki Winslow |
| b. Audit and Finance Committee
<i>10 Minutes</i> | Gary Shaffer |
| 11. Conflict of Interest/Form 700
<i>5 minutes</i> | Lori Graver |
| 12. Other
<i>5 minutes</i>
<i>"...that is, matters initiated in the present meeting." Robert's Rules of Order, Revised, III, p.21. Limited by Brown Act to discussion only.</i> | Elizabeth Goldman |
| 13. State Library Report
<i>10 minutes</i> | Natalie Cole |
| 14. Executive Director's Report
<i>4 minutes</i> | Diane Bednarski |
| 15. Chairperson Report
<i>5 minutes</i> | Elizabeth Goldman |
| 16. Adjournment | Elizabeth Goldman |



ACTION ITEMS

Meeting: _____ SCLC Administrative Council Meeting _____

Date: _____ December 1, 2021 _____

Library: _____

Name: _____

Signature: _____

Date: _____

Agenda Item: _____

_____ Aye _____ Motion

_____ Nay _____ Second

_____ Abstain

Agenda Item: _____

_____ Aye _____ Motion

_____ Nay _____ Second

_____ Abstain

Agenda Item: _____

_____ Aye _____ Motion

_____ Nay _____ Second

_____ Abstain

Agenda Item: _____

_____ Aye _____ Motion

_____ Nay _____ Second

_____ Abstain

Agenda Item: _____

_____ Aye _____ Motion

_____ Nay _____ Second

_____ Abstain

Agenda Item: _____

_____ Aye _____ Motion

_____ Nay _____ Second

_____ Abstain



AC Agenda Item 03a

Southern California Library Cooperative
Administrative Council Meeting
August 25, 2021
2:15-4:15pm

Minutes draft

Attendance

Addington, Jennifer – Palos Verdes
Anderson, Susan – Redondo Beach
Behle, Kelli – Simi Valley
Billings, Cathy – South Pasadena
Buth, Karen – Beverly Hills
Garcia, Diana – Monterey Park
Goldman, Elizabeth – Burbank
Graf, Ann - Azusa
Hiles, Roger – Arcadia
Kimsey, Sofia – Oxnard
Lockwood, Barbara – Calabasas
LohGuan, Hilda – Alhambra
Maghsoudi, Paymaneh – Whittier
McCollum, Melissa – El Segundo
McDermott, Irene – San Marino
Nasr, Mandy – Camarillo
Perera, Michelle – Pasadena
Schram, Nancy – Ventura
Shaffer, Gary – Glendale
Shupe, Robert – Palmdale
Stone, Janet – Glendora
Szabo, John – LAPL
Torres, Anita – Pomona
Vance, Carey – Monrovia

Vonnegut, Shannon – Santa Clarita
Walker-Lanz, Jesse – LACo
Wilburn, Yolande – Torrance
Williams, Glenda – Long Beach
Winslow, Nikki – Altadena
Wong, Patty – Santa Monica

Other

Bednarski, Diane – SCLC
Broman, Susan – LAPL
Cole, Natalie – CSL
Dinuzzo, Carol – SCLC
Graver, Lori – SCLC
Walker, Wayne - SCLC

Absent

Balli, Shayna – Irwindale
Dickow, Ben – Downey
Hughes, Charles – Signal Hill
Hurtado, Melissa – Thousand Oaks
Mangold, Joseph – Moorpark
Raia, Deborah – Santa Fe Springs
Sarmiento, Beatriz – Commerce
Singh, Harjinder – Inglewood
Smart, Christine – Sierra Madre
Virbia, Krizia - Covina

1. Opening
 - a. Chairperson's Welcome

Elizabeth Goldman

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b. Roll Call
Meeting called to order at 2:17pm.

2. Public Forum
Opportunity for any guest or member of the public to address the Council on any item of SCLC business.
None.

3. Consent Calendar Elizabeth Goldman
All items on the consent calendar may be approved by a single motion. Any Council member may request an item be removed from the consent calendar and placed on the agenda for discussion.
a. Minutes of the May 27, 2021 and June 3, 2021 Administrative Council meetings.
b. Salary Schedule FY2020/21
c. CLSA 2020/21 Annual Report
MSP (Williams/Addington) to pass the Consent Calendar, without changes.

4. Adoption of Agenda Elizabeth Goldman
Agenda approved by Chair without changes or objection.

5. Healthcare Premium Update Carol Dinuzzo
MSP (Maghsoudi/McDermott) to authorize a 4.69% increase in the health premium allowance commencing January 1, 2022 to address the increasing health care premiums.

6. Final Budget Status FY2020/21 Carol Dinuzzo
Remining revenue is pending year-end close out of grants and finalizing the amounts for contracted system services.

7. Budget Status Report FY2021/22 Carol Dinuzzo
MSP (Shupe/Billings) Approve recommendation from Executive Committee to approve the amended budget for FY2021/22.

8. CalPERS Payment Schedule Carol Dinuzzo
The current CalPERS payment schedule was presented to Council.

9. Audit and Finance Committee Report Gary Shaffer

MSP (Billings/Graf) to open a CalPERS 115 trust account, transferring \$100K from LAIF to the 115 account. MSP (Addington/Maghsoudi) for the Audit and Finance Committee to explore and recommend ways to retire the pension debt within ten years, perhaps with assistance from a hired consultant.

10. Salary Schedule 2021/22 and Funding Appropriations Diane Bednarski/Carol Dinuzzo
Discussion on creating a consistent pay policy for staff step and COLA increases. MSP (Shupe/Williams) to approve the Salary Schedule upon a 1.23% COLA increase for the Project Manager and a 5% increase for the Executive Director.
11. Revised CLSA Plan of Service FY2021/22 Diane Bednarski
MSP (Billings/Shupe) to authorize the SCLC Chair to work with the Executive Director to complete and submit an amended CLSA Plan of Service 2021/22 by September 8, 2021. MSP (Shupe/Anderson) to allocate CLSA funds into eResources, and to authorize Chair to work with the Executive Director to choose and purchase materials, and to authorize the Executive Director to initiate a two-year subscription to PressReader. It was noted that PressReader has materials to help promote service.
12. SCLC Goals and Long-Term Planning Elizabeth Goldman
Former Chair Shupe noted that the Executive Director goals would be presented to Council at its next meeting. The Chair expressed interest in initiating a Strategic Planning process. Executive Committee to serve as the Steering Committee for this project, and to include hiring a consultant for a half day workshop. Goal is to approve a three-year Strategic Plan by May 2022 and implement in FY22/23. MSP (Addington/Wilburn) to authorize the Chair and Executive Director to enter a contract with a consultant, not to exceed \$30K, towards work for strategic planning.
13. SCLC Technology Committee Report Nikki Winslow
Committee is exploring alternatives to the Montage platform, currently used for Digilab. Project goals are to align with Calisphere, and Committee will bring recommendations in the future. Members using meeting time as a show and tell for new technology, such as the Polaris app – Thousand Oaks presented a demonstration, and Calabasas is currently implementing the Polaris app. Discussed use of outdoor lockers for 24/7 access, when branches were closed during the pandemic. The November meeting was moved to October.
14. Physical Locations for 2021/22 Meetings Diane Bednarski
MSP (Shaffer/Wilburn) to change the November 24 meeting to December 1, 2021, to be hosted by Glendale, if COVID restrictions allow.
15. Other Elizabeth Goldman
"...that is, matters initiated in the present meeting." Robert's Rules of Order, Revised, III, p.21. Limited by Brown Act to discussion only.

Invitation to consider the role of SCLC within a Los Angeles County-wide district.

16. State Library Report Natalie Cole
Review of available infrastructure funding for libraries and current funding opportunities through the State Library.
17. Executive Director's Report Diane Bednarski
Executive Director represented SCLC at a legal hearing regarding the engagement of contracted services for Sergei Kagno. A ruling is expected to be received within ten days, and Executive Director will advise Council on the final outcome. SCLC has completed its office move to Glendale. Committee had authorized spending \$32K/year on the lease, and up to \$4K on moving expenses – actuals are \$25,716/year on the lease, and \$1320 on moving expenses. SCLC was awarded management of the CLCI FY21/22 grant, in the amount of \$670K, of which \$17,500 will go towards staffing. In discussion with State Library on a Digital Navigator grant, which would assist the public in finding low cost internet and provide orientation to state funded databases and devices.
18. Chairperson's Report Elizabeth Goldman
None.
19. Adjournment Elizabeth Goldman
Meeting adjourned at 4:03pm.



DATE: December 1, 2021
TO: SCLC Administrative Council
FROM: Carol Dinuzzo, Controller, SCLC
SUBJECT: Section 115 Trust Account - CEPPT

BACKGROUND: Per the Audit and Finance Committee's recommendation, the SCLC Administrative Council approved to open a California Employer's Pension Prefunding Trust (CEPPT) with CalPERS at the August 25th meeting. The Council also approved to move \$100K from our LAIF account into this account once established.

STATUS: The CEPPT account was set up through CalPERS and \$100K from our LAIF account has been transferred into this fund. Reports on the account's performance will be provided to the Audit and Finance Committee and Administrative Council on a quarterly basis.

FISCAL IMPACT: None at this time.

RECOMMENDATION: Informational

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DATE: December 1, 2021
TO: SCLC Executive Committee/Administrative Council
FROM: Carol Dinuzzo, Controller, SCLC
SUBJECT: Budget Status, FY2021/22

BACKGROUND: The Budget Status Report for Fiscal Year 2021/22 is attached for your review and reflects the reconciled bank statements through September 30, 2021.

REVENUE: Grant revenue has been updated to reflect all awards.

EXPENSES: Grant expenses have been updated to reflect passthrough funds.

CLSA ROLLOVER FUNDS: All prior year Digital and eResources funds have been expended. There is still a remaining balance of \$126,249 for Resource Sharing (Digilabs) and \$10,236 to use toward Telecommunications.

FISCAL IMPACT: Overall increase in revenue resulting in an anticipated surplus of \$229,784 for the current fiscal year.

RECOMMENDATION FOR ADMINISTRATIVE COUNCIL: Informational.

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REVENUES/EXPENSES (as of 08/25/2021)	Proposed	Prior Year Actuals	Actuals	Balance	%	Notes
REVENUE						
				Unrealized		
CLSA Communications & Delivery	\$ 568,881		\$ 568,881	\$ -	100%	Preliminary System Allocation
CLSA System Administration	\$ 342,926		\$ 342,926	\$ -	100%	Preliminary System Allocation
System Supplements to CLSA	\$ -		\$ -	\$ -	0%	N/A
Grant Project Revenue	\$ 3,287,839		\$ 3,187,565	\$ 100,274	97%	Projection - see attachment
Grant Indirect (All Systems)	\$ 291,001		\$ 280,659	\$ 10,342	96%	Projection - see attachment
Grant Staffing (All Systems)	\$ 48,757		\$ 90,641	\$ (41,884)	186%	Projection - see attachment
SCLC Member Dues	\$ 205,717		\$ 155,761	\$ 49,956	76%	Approved 03/25/2021
Investment Income	\$ 18,750		\$ 1,571	\$ 17,179	8%	Projected LAIF Interest
TOTAL REVENUE	\$ 4,763,871	\$ -	\$ 4,628,004	\$ 118,688		

EXPENDITURES						
Personnel Services						
Salaries & Wages	\$ 589,377		\$ 135,441	\$ 453,936	23%	SCLC Staff
Retirement Benefits	\$ 68,050		\$ 14,518	\$ 53,532	21%	CalPERS
Health Insurance - Current Employees	\$ 48,000		\$ 12,000	\$ 36,000	25%	Health Stipend
Health Insurance - Retirees	\$ 76,800		\$ 10,311	\$ 66,489	13%	Health Stipend
Dental/Vision	\$ 6,552		\$ 1,637	\$ 4,915	25%	Ameritas
Life Insurance	\$ 1,224		\$ 327	\$ 897	27%	Dearborn
Unfunded Accrued Liability	\$ 138,339		\$ 133,737	\$ 4,602	97%	CalPERS
Other Personnel Expenses	\$ 3,101		\$ 2,607	\$ 494	84%	Worker's Comp
Personnel Service Subtotal	\$ 931,443	\$ -	\$ 310,578	\$ 620,865		

REVENUES/EXPENSES	Proposed	Prior Year Actuals	Actuals	Balance	%	Notes
Operating Expenses						
Office space Lease	\$ 32,000		\$ 8,572	\$ 23,428	27%	Lease TBD
Professional & Contract Services	\$ 65,000		\$ 5,927	\$ 59,073	9%	Legal, Payroll/HR, Consulting, etc.
Telecommunications	\$ 30,000		\$ 2,410	\$ 27,590	8%	Progent, Microsoft, Internet, RingCentral, A2 (CLSA*) and Communications Allowance
Delivery	\$ 66,000		\$ 4,287	\$ 61,713	6%	Reliant (CLSA)
Audit Fees	\$ 12,270		\$ -	\$ 12,270	0%	Fedak & Brown (CLSA)
Software Licenses	\$ 3,479		\$ -	\$ 3,479	0%	Dashlane, Intuit (paid biennially)
Office Supplies & Printing	\$ 8,500		\$ 33	\$ 8,467	0%	Office Supplies, Postage, Moving cost, etc.
E-Resources	\$ 137,180		\$ 135,980	\$ 1,200	99%	Gale, PressReader (CLSA)
Resource Sharing	\$ 35,000		\$ -	\$ 35,000	0%	Digilabs (CLSA)
Memberships	\$ 14,500		\$ 270	\$ 14,230	2%	Califa, CLA, etc.
Travel & Conferences	\$ 10,000		\$ 432	\$ 9,568	4%	Travel for meetings, conference, and audit
Postage	\$ 800		\$ 76	\$ 724	10%	
Other	\$ 350		\$ -	\$ 350	0%	Bank Analysis Fees
Operating Expenses Subtotal	\$ 415,079	\$ -	\$ 157,987	\$ 257,092		
Grant Expenses						
CLCI	\$ 650,000		\$ -	\$ 650,000	0%	Awarded
Dia de los Ninos	\$ 80,000		\$ -	\$ 80,000	0%	Awarded
Digital Navigator	\$ 656,173		\$ -	\$ 656,173	0%	Awarded
Home Connectivity Kits	\$ 1,678,820		\$ -	\$ 1,678,820	0%	Awarded
PLSEP	\$ 122,572		\$ -	\$ 122,572	0%	Awarded
Grant Expenses Subtotal	\$ 3,187,565	\$ -	\$ -	\$ 3,187,565		Passthrough Funds
TOTAL EXPENDITURES	\$ 4,534,087	\$ -	\$ 468,565	\$ -		
Surplus (Deficit)	\$ 229,784	\$ -	\$ 4,159,439			

SCLC ACCOUNT BALANCES				
As of June 30, 2021	\$ 3,116,749		\$ 1,613,427	Pacific Western Bank as of September 30, 2021
As of June 30, 2021	\$ 1,924,159		\$ 1,825,730	Local Agency Investment Fund (LAIF)
As of October 31, 2021	\$ 100,000		\$ 100,000	California Employer's Pension Prefunding Trust (CEPPT)

SCLC MEMBER DEPOSIT ACCOUNT				
As of March 31, 2021	\$ 170,689		\$ 170,689	Pacific Western Bank as of September 30, 2021

CARRY OVER CLSA FUNDS

FY2019/20 CLSA Communications & Delivery

	Actuals	Expended	Balance	Notes
Resource Sharing	\$ 65,401	\$ 5,000	\$ 60,401	Digilabs
Digital Resources	\$ 382,359	\$ 382,359	\$ -	Press Reader
Total Estimated Carry Over	\$ 447,760	\$ 387,359	\$ 60,401	

FY2020/21 CLSA Communications & Delivery - Projected

	Estimated	Expended	Balance	Notes
E-Reources	\$ 113,993	\$ 113,993	\$ -	Press Reader
Resource Sharing	\$ 65,848	\$ -	\$ 65,848	Digilabs
Delivery	\$ 17,718	\$ 17,718	\$ -	Reliant
Telecommunication	\$ 16,724	\$ 6,488	\$ 10,236	
Total Estimated Carry Over	\$ 214,283	\$ 138,199	\$ 76,084	

*Telecommunications defined by the CLSA Plan of Service as: Internet, web/tech support, phone/fax/VOIP/telecomm equipment maintenance, and web software



DATE: December 1, 2021
TO: SCLC Administrative Council
FROM: Carol Dinuzzo, Controller, SCLC
SUBJECT: LAIF Resolution

BACKGROUND: Each year a new Vice Chair is appointed, that person becomes the Chair of the Audit and Finance Committee in addition to the Vice Chair. One responsibility is being the signer on the Local Agency Investment Fund (LAIF) account. As roles and titles change, SCLC staff must update the form.

Both the Executive Director and the Vice Chair positions needs to be updated to reflect Diane Bednarski and Gary Shaffer now in those roles.

The Resolution is attached for your review.

FISCAL IMPACT: None at this time.

RECOMMENDATION: Approve changes to the Resolution.

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**California State Treasurer's Office
Local Agency Investment Fund (LAIF)**

Authorization for Transfer of Funds

Effective Date _____

Agency Name _____

LAIF Account # _____

Agency's LAIF Resolution # _____ or Resolution Date _____

ONLY the following individuals whose names appear in the table below are hereby authorized to order the deposit or withdrawal of funds in LAIF. ***This authorization REPLACES AND SUPERSEDES all prior authorizations on file with LAIF for the transfer of funds.***

Name	Title

Two authorized signatures required. Each of the undersigned certifies that he/she is authorized to execute this form under the agency's resolution, and that the information contained herein is true and correct.

Signature

Print Name

Title

Telephone

Signature

Print Name

Title

Telephone

Please provide email address to receive LAIF notifications.

Name	Email

Please email a scanned copy for review to laif@treasurer.ca.gov.
**After approval is received, mail the original form to: State Treasurer's Office
 Local Agency Investment Fund
 P.O. Box 942809
 Sacramento, CA 94209-0001**



**RESOLUTION OF Southern California Library Cooperative (SCLC)
a Joint Powers Agency**

AUTHORIZING INVESTMENT OF MONIES IN THE LOCAL AGENCY INVESTMENT FUND

WHEREAS, The Local Agency Investment Fund is established in the State Treasury under Government Code section 16429.1 et. seq. for the deposit of money of a local agency for purposes of investment by the State Treasurer; and

WHEREAS, the Executive Committee of the SCLC Administrative Council hereby finds that the deposit and withdrawal of money in the Local Agency Investment Fund in accordance with Government Code section 16429.1 et. seq. for the purpose of investment as provided therein is in the best interests of the Southern California Library Cooperative;

NOW THEREFORE, BE IT RESOLVED, that the Executive Committee of the SCLC Administrative Council hereby authorizes the deposit and withdrawal of SCLC monies in the Local Agency Investment Fund in the State Treasury in accordance with Government Code section 16429.1 et. seq. for the purpose of investment as provided therein.

BE IT FURTHER RESOLVED, as follows:

Section 1. The following Southern California Library Cooperative officers holding the title(s) specified herein below or their successors in office are each hereby authorized to order the deposit or withdrawal of monies in the Local Agency Investment Fund and may execute and deliver any and all documents necessary or advisable in order to effectuate the purposes of this resolution and the transactions contemplated hereby:

Gary Shaffer
(Name)

Diane Bednarski
(Name)

Carol Dinuzzo
(Name)

Chair, Audit and Finance Committee
(Title)

Executive Director
(Title)

Controller
(Title)

(Signature)

(Signature)

(Signature)

Section 2. This resolution shall remain in full force and effect until rescinded by the Executive Committee of the SCLC Administrative Council by resolution and a copy of the resolution rescinding this resolution is filed with the State Treasurer's Office.

PASSED AND ADOPTED by the Executive Committee of the Southern California Library Cooperative Administrative Council, County of Los Angeles of the State of California on July 25, 2019.



DATE: December 1, 2021
 TO: SCLC Administrative Council
 FROM: Diane Z. Bednarski
 SUBJECT: FY2021/22 Grant Award Status

BACKGROUND: SCLC submitted applications for several FY2021/22 grants in coordination with the State Library. SCLC will also be engaged in the PLSEP program for the five systems it manages and continues to work on the Shared Vision Grant in conjunction with the San Diego County Library. Status information on each grant is presented below.

Grant Name:	Shared Vision: Kindergarten Gear Up
Primary Partner:	San Diego County Library
Total Project Amount:	\$270,350.00
Projected Indirect:	\$10,850
Reimbursable Wages:	\$0
Status:	Awarded; currently in year 2 of 2
Brief Description:	Convert a school readiness curriculum and toolkit to an online format

Grant Name:	Seguimos Creando Enlaces
Primary Partner:	Serra Cooperative Library System
Total Project Amount:	\$30,000
Projected Indirect:	\$3,000
Reimbursable Wages:	Not calculated
Status:	Declined; program to be absorbed by CALL
Brief Description:	Bilingual, virtual conference to support learning and collaboration among library staff from the border region of San Diego-Tijuana, and the greater California library community.

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Grant Name:	Dia de los Ninos
Primary Partner:	CA State Library
Total Project Amount:	\$100,000
Projected Indirect:	\$9,091
Reimbursable Wages:	\$10,909
Status:	Awarded
Brief Description:	Provide libraries with reimbursement funding to bring Día events and activities to their communities.

Grant Name:	California Library Collection Initiatives
Primary Partner:	CA State Library
Total Project Amount:	\$667,490
Projected Indirect:	\$12,954
Reimbursable Wages:	\$4,536
Status:	Awarded
Brief Description:	Will enable libraries to offer online access to electronic and physical materials to communities so that they can be informed about current events and cope and recover from crises by 1.) continue to support statewide access to the New York Times Online for public libraries. 2.) offer libraries an opportunity to receive support to develop local collections to help their communities recover from the COVID pandemic and the consequent economic recession, and other disasters, such as building and wildfires, severe storms, flooding, mass shootings, etc.

Grant Name:	Home Connectivity Kits
Primary Partner:	CA State Library
Total Project Amount:	\$1,875,000
Projected Indirect:	\$170,454
Reimbursable Wages:	\$25,726
Status:	Awarded
Brief Description:	To provide funds or reimbursement to help libraries respond directly and immediately to the pandemic through rapid emergency relief by providing to them the devices, expertise, and support for libraries to lend packaged Chromebooks, Hotspots, and Peripherals.

Grant Name:	Digital Navigators
Primary Partner:	CA State Library
Total Project Amount:	\$750,000
Projected Indirect:	\$64,757
Reimbursable Wages:	\$29,070
Status:	Awarded
Brief Description:	Develop a team of 'Digital Navigators' who can assist individuals statewide in three key areas of digital inclusion: (1) sharing information on sources of low-cost internet services and devices for home adoption, (2) providing basic instruction on connecting internet devices supplied to libraries through the Bridging the Digital Divide and Home Connectivity Kits projects and performing common online tasks, and (3) promoting and providing guidance on the use of six online instructional tools licensed by the California State Library to assist with digital literacy, workforce development and pandemic recovery

Grant Name:	PLSEP - SCLC
Primary Partner:	CA State Library
Total Project Amount:	\$147,589
Projected Indirect:	\$13,417
Reimbursable Wages:	\$11,600
Status:	Awarded
Brief Description:	Provide tuition reimbursement to library staff currently in school and working towards their library degree.

Grant Name:	PLSEP – 49-99 Cooperative Library System
Primary Partner:	CA State Library
Total Project Amount:	\$10,153
Projected Indirect:	\$923
Reimbursable Wages:	\$800
Status:	Awarded
Brief Description:	Provide tuition reimbursement to library staff currently in school and working towards their library degree.

Grant Name:	PLSEP – Inland Library System
Primary Partner:	CA State Library
Total Project Amount:	\$44,629
Projected Indirect:	\$4,057
Reimbursable Wages:	\$3,600
Status:	Awarded
Brief Description:	Provide tuition reimbursement to library staff currently in school and working towards their library degree.

Grant Name:	PLSEP – Santiago Library System
Primary Partner:	CA State Library
Total Project Amount:	\$29,403
Projected Indirect:	\$2,673
Reimbursable Wages:	\$2,400
Status:	Awarded
Brief Description:	Provide tuition reimbursement to library staff currently in school and working towards their library degree.

Grant Name:	PLSEP – Serra Cooperative Library System
Primary Partner:	CA State Library
Total Project Amount:	\$25,663
Projected Indirect:	\$2,333
Reimbursable Wages:	\$2,000
Status:	Awarded
Brief Description:	Provide tuition reimbursement to library staff currently in school and working towards their library degree.

FISCAL IMPACT: As stated.

RECOMMENDATION: Informational



AC Agenda Item 08

DATE: December 1, 2021
TO: Administrative Council
FROM: Diane Bednarski, Executive Director
SUBJECT: Strategic Planning Consultant

BACKGROUND: On October 27, 2021, the SCLC Executive Committee met to review four consultant proposals for strategic planning services. The Committee selected BerryDunn as its preferred provider. The Executive Director proceeded to conduct reference checks and a professional services agreement was executed on November 15, 2021. The Administrative Council will be introduced to the BerryDunn team and briefed on the launch of the process and next steps.

FISCAL IMPACT: \$24,680

RECOMMENDATION: TBD

Attachment: BerryDunn Proposal to Southern California Library Cooperative

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PROPOSAL TO
**Southern California Library
Cooperative**

IN RESPONSE TO RFP FOR A
**Library Strategic Planning
Consultant**

BerryDunn

2211 Congress Street
Portland, ME 04102
207-541-2200

Chad Snow, Principal
csnow@berrydunn.com

Jason Genck, Project Manager
jgenck@berrydunn.com

**Monique le Conge Ziesenhenné, PhD, Lead
Library Consultant**
mleconge@gmail.com

Proposal Submitted On:
October 6, 2021 before 5:00 p.m.



October 6, 2021

Diane Z. Bednarski, Executive Director
Southern California Library Cooperative
254 North Lake Avenue, #874
Pasadena, CA 91101

Dear Director Bednarski,

Thank you for the opportunity to submit this proposal in response to the Southern California Library Cooperative's (SCLC's) Request for Proposals (RFP) for a Library Strategic Planning Consultant.

BerryDunn McNeil & Parker, LLC (BerryDunn) is an independent management and consulting firm with nationwide experience helping entities serving the public plan for the future. To provide you with deep expertise in library strategic planning, we have partnered with Dr. Monique le Conge Ziesenhenne on this proposal. Dr. Ziesenhenne recently worked as the Assistant City Manager and former Director of Library and Community Services for the City of Palo Alto. She has been involved in strategic planning for public libraries like Palo Alto and for library systems like North Bay Cooperative Library System (NBCLS, now part of NorthNet). She has also helped the California State Library conduct strategic planning.

BerryDunn and Dr. Ziesenhenne will bring our considerable strengths to your strategic planning project. Jason Genck (of BerryDunn) and Dr. Ziesenhenne will co-lead the strategic planning process. In addition, we are proud to partner with Susan Hildreth, a nationally known library consultant with extensive knowledge of the California library system, whom will also support our team in an as-needed advisory capacity.

Our approach combines industry best practices with strategic innovation, grounded in what works and what is specific to the unique needs of residents served by SCLC member libraries. We recognize that current safety parameters will require a hybrid approach to this initiative, likely with blended in-person and virtual activities. During SCLC's project, we will create a tailored virtual engagement center and hub that will help keep staff, community members, and stakeholders informed and connected.

You can depend on our team's expertise related to library and public sector planning, fiscal analysis, benchmarking, organizational development, and community engagement. Each team member is committed to developing a Strategic Plan that will help SCLC continue its success as an innovative library cooperative.

As a principal in BerryDunn's Local Government Consulting Group, I am authorized to bind BerryDunn to the commitments made in this proposal. We appreciate the opportunity to propose a project team that can work together with SCLC to produce a realistic, actionable, and measurable Strategic Plan. Our team looks forward to working with you to chart your journey forward.

Sincerely,

A handwritten signature in black ink, appearing to read 'CSnow'.

Charles (Chad) Snow, Principal
2211 Congress Street, Portland, ME 04102
207-541-2294 | csnow@berrydunn.com

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A. Team Qualifications

Statement of Understanding

Like organizations serving the public across the country, SCLC and its 40 member libraries currently face a period of change and potential uncertainty as a result of the COVID-19 pandemic. Fundamental concepts like physical connection, collaboration, teamwork, and communication have all been impacted in both short term and long-term ways.

Even during this period of change, we believe public libraries remain vital community partners in restoring economic and community health and wellbeing. The challenges of social distancing inspired new ways to connect with users, and these strategies can potentially inform the strategic direction of the cooperative.

Using input from the members and communities served by SCLC remains extremely valuable. The planning process should incorporate data member libraries have learned over the past 2 – 3 years to help better inform the plan for SCLC. In hand with member library's relationship with their communities, potential areas of staff development may be necessary, whether relating to mental health, new technologies, or work styles/locations.

Why We Want to Work With You

We understand that SCLC is a cornerstone of library governance for Los Angeles and Ventura Counties. As a collective organization, our intent is to support charting out an actionable path for continued innovation and improvement, focusing on resource allocation, funding planning and options, and impact on communities.

We offer SCLC the following capabilities and experience:

Stakeholder engagement is the foundation of our work. Each team member brings experience, both as consultants and public sector employees, in creating meaningful communication channels and translating feedback into action. For example, during his time with the City of Westminster, proposed Project Manager Jason Genck designed and implemented one of the highest performing outreach and engagement practices for a municipality in the United States. He also recently helped guide the city's \$1 billion downtown development plan, transit oriented development plan, citywide COVID-19 social recovery efforts, the first ever Inclusivity Board, and focus area-specific plans in marketing and outreach, libraries, open space and cultural arts.

Our focus is on the future. SCLC's final Strategic Plan will provide a firm and essential foundation for successfully addressing other development initiatives, such as comprehensively improving governance. We will leverage our library consultants' experience to identify gaps in relation to the strategic plan priorities in resources, available funding, and developing a vision for member libraries to continue playing pivotal roles in their communities.

We're ready to work through today's challenges with you. To continue providing quality services to our clients and communities, our team has gained extensive experience in service delivery, organization, staff and patron support, and public health-related endeavors throughout the COVID-19 pandemic. This work has included operating major library facilities throughout COVID-19, developing robust remote engagement strategies, and developing innovative presentations on managing crisis through strategy, response, and future service delivery.

Combining Our Strengths

The primary strength of our assembled team, illustrated in Figure 1, is combining our interdisciplinary experience to give SCLC a comprehensive perspective during its strategic planning process. We also believe that project success is inextricably linked to a “one project, one team” mentality, and a commitment to consistent communication with our clients. This aligned philosophy helps our clients to receive clear messaging, recommendations, and guidance from each team member, regardless of firm.

SCLC will benefit from working with skilled facilitators and consultants with combined experience in local government and the public library industry. A key differentiator to every BerryDunn team is our background as former public sector employees—five of our proposed team members have worked in local government.

Figure 1: Team Organizational Structure



Project Co-Leaders

Our project leads will combine library expertise with local government leadership experience to collaborate with SCLC staff, stakeholders, and community members to develop a results-oriented roadmap to your future.



Jason Genck, BerryDunn
Project Manager

Jason Genck brings nearly 26 years of experience in the libraries, parks, recreation industries, and is a sought-after thought leader in this space. Prior to joining BerryDunn, Jason was executive director of the Westminster, Colorado, Parks, Recreation, and Libraries Department, where he oversaw a staff of more than 1,000, managed an annual operating budget of \$22 million, and served a city of approximately 115,000 residents. Jason recently oversaw the development of Westminster's Libraries Master Plan, which became a source of tremendous pride for the department's staff and community.

At BerryDunn, Jason is part of the Local Government Consulting Group, which focuses exclusively on supporting local public sector entities across the nation as they solve some of their biggest challenges. He specializes in strategic and business planning, community engagement, leadership development, and performance measurement.

Jason will serve as primary point of contact with SCLC, leading our work and day-to-day project management. He will facilitate planning and facilitation approach with project stakeholders, lead presentation of recommendations and findings, and oversee the development of deliverables. He will leverage his decades of industry experience to provide recommendations based on best practices and industry trends. In particular, he will help oversee recommendations related to libraries and related programming.



Monique le Conge Ziesenhenné, PhD
Lead Library Consultant

Dr. Ziesenhenné brings broad public service leadership experience, including strategy, budgets, staff, and policy development. Most recently, she served in key leadership roles with the City of Palo Alto, including as Director of Library & Community Services and Assistant City Manager. Her perspective as an experienced practitioner will help our team tailor recommendations that are applicable for member libraries.

She has been involved in strategic planning for public libraries, including Palo Alto, Richmond, and Benicia, and for library systems like the North Bay Cooperative Library System (NBCLS, now part of NorthNet), Bay Area Library Information System (BALIS, now part of Pacific Library Partnership), and the Silicon Valley Library System (SVLS, now part of Pacific Library Partnership). In each engagement, her approach is defined by a commitment to effectively plan, prioritize, implement, and analyze innovative programs, services, and activities.

Dr. Ziesenhenné will provide key facilitation expertise, engagement support, and strategic planning guidance during the project. Utilizing her experience with California libraries, she will help to develop strategic goals that address the specific needs of the region.

Subject Matter Experts

BerryDunn brings deep bench strength through our Consulting Team, who will help guide our recommendations in specific areas, such as safety, technology, and financial planning.



Jesse Myott, MA
Financial Planning SME

A senior consultant in BerryDunn's, Parks, Recreation, Libraries Practice, Jesse Myott brings over a decade of public sector experience having served for cities in the San Francisco Bay Area and Boston area. He has worked in a broad range of analyst and executive management roles in city administration and finance, compensation and benefits analysis, capital improvement program development and grants management, facility planning, and operating budget development, delivery and management. Jesse has a proven record of success in working with elected and appointed officials and is extremely knowledgeable regarding all aspects of city service delivery.

Jesse will support the team during needs analysis and environmental scan activities, facilitating focus groups and deliverable development.



Donald Begin, CCNA
Information Technology SME

Don Begin is a consultant in BerryDunn's Technology Management Practice within our Local Government Consulting Group. He has 20 years of experience providing IT leadership to public school districts and municipal governments. He specializes in developing and launching programs related to business continuity, disaster recovery, culture development, infrastructure development, privacy and user security, and service-level enhancement.

Don will support the project team during our environmental scanning activities, providing expertise on technology portfolio development, use, policies, and long-term decision-making.

Project Quality and Oversight

BerryDunn takes the quality of our work seriously and will work to exceed SCLC's expectations of the quality and timeliness of our communications, service delivery, and final work products.



Chad Snow, PMP®, CFE
Principal in Charge

Chad Snow is the principal and leader of BerryDunn's Local Government Practice Group. He has more than 27 years of experience working with local government agencies, as well as extensive experience assisting government clients with project management, technology planning, business process improvement, system implementation and design, and enterprise systems. Chad works out of BerryDunn's headquarters in Portland, Maine.

Chad will have overall responsibility for the services we have proposed to SCLC. He will review all deliverables for compliance and help ensure they meet BerryDunn's quality standards.

Consulting Adviser



Susan Hildreth

Library Consulting Adviser

Susan Hildreth is a sub consultant who will work as an integrated member of BerryDunn's team. Susan is a nationally renowned library leader and expert with nearly 50 years of experience. In addition to teaching 21st century library theory and practice at the University of Washington School of Information, Susan has served as director of the Institute of Museum and Library Services and led California-based library systems such as the Sonoma County Library, Peninsula Library System, Pacific Library Partnership, The Califa Group, California State Library, and San Francisco Public Library. She was inducted into the California Library Association (CLA) Library Hall of Fame in 2019.

As a national leader in the libraries industry, Susan will oversee all elements of the project related to the City's libraries and library programming. She will apply her decades of experience leading library systems throughout California and her extensive knowledge of industry best practices and emerging trends. Susan will work out of her office in Walnut Creek, California.

During the project, Susan will contribute transferrable knowledge across all types of libraries. She will also give input, where needed, to the strategic planning process as it relates to SCLC's history and development.

A seasoned expert in public sector strategic planning and equity consulting will support project leads during planning, needs analysis, environmental scan, and strategic goal development activities.



Michelle Kennedy, Prosci® CCP

Facilitation Adviser

Michelle Kennedy is a senior consultant in BerryDunn's Local Government Practice Group. She brings more than 30 years of government sector management and consulting experience in organizational development, including strategic planning, leadership development and executive coaching, organizational change management, program evaluation, business process improvement, and performance measurement.

Michelle has provided consulting services and project leadership for state and local government agencies throughout the United States, including park, recreation, and library organizations. Her strong facilitation skills are supported by certifications in several related areas, including in the Institute of Cultural Affairs' (ICA's) Technology of Participation (ToP®) facilitation methodology. Michelle has facilitated the development and writing of strategic plans for over 30 public-sector organizations.

Michelle will contribute to our facilitation activities with SCLC staff and county community members. In addition, she will contribute to quality management practices aligned with BerryDunn standards.

B. Relevant Experience

Public Sector Focus

BerryDunn’s team leaders and facilitator offer our clients industry expertise built upon decades of experience in parks, recreation, and library programming, facility operations, departmental leadership, and strategic planning. We apply that experience directly to all our consulting services and leverage this experience to help library districts and other agencies that serve the public achieve their management and planning goals.

We help our clients build organizations and processes through innovative strategies and solutions.

All of our client engagements are defined by supporting our clients’ vision, focus, and continuous improvement. We strive to assure quality by understanding your expectations up front, developing a reasonable and achievable project approach, gaining concurrence on project tasks and timing, and using appropriate staff for each engagement.

BerryDunn's system-wide strategic planning processes have been developed in collaboration with our clients and included robust, inclusive community engagement components. Our prior work has featured demographic studies, environmental scans, strategic goal setting, community forum facilitation, well-defined action plans, and implementation support once the final plan is approved.

BerryDunn’s representative list of strategic planning clients is listed below. We will leverage our experience and lessons learned from this background in our work with the SCLC.

Table 1: Relevant Project Experience

Agency	Organizational Assessments	Strategic Planning and Facilitation	Leadership and Team Development and Coaching
Adams County District Attorney’s Office, CO*		•	
Broward County, FL*	•		
Buffalo Grove Park District, IL*		•	
City of Aiken Parks and Recreation, SC*	•		
City of Beaverton Community Development Department, OR	•	•	•
City of Brookline Department of Recreation, MA*	•		
City of Cooper City, FL		•	
City of Milton, GA		•	
City of Newport Parks	•		

Agency	Organizational Assessments	Strategic Planning and Facilitation	Leadership and Team Development and Coaching
Department, RI*			
City of Newton Planning Department, MA*	•		
City of Portland, OR*			•
City of Portland Parks and Recreation Department, OR*	•		
City of Rancho Cordova, CA*	•		
City of Richmond Parks and Recreation, VA*	•		
City of Roseville Parks, Recreation, and Libraries Department, CA*	•		
City of SeaTac, WA*		•	
City of Tacoma Human Services, WA		•	
City of Westminster, CO	•	•	
City of Woodinville, WA*		•	
Clatsop County, OR*	•		
Fair Oaks Park and Recreation District, CA*	•		
Gulf Shores State Park, AL*	•		
Illinois Department of Human Services, IL			•
Kent County, MI*	•		
Kentucky State Parks, KY*	•		
Lake County, IL*		•	
Maricopa County, AZ	•		
Marion County, OR*	•	•	
Marion County Juvenile Department, OR	•		
McHenry County, IL*		•	
Metro Parks Tacoma, WA	•	•	•

Agency	Organizational Assessments	Strategic Planning and Facilitation	Leadership and Team Development and Coaching
Orangevale Park and Recreation District, CA*	•		
Oregon Department of Fish and Wildlife, OR*	•		
Oregon Department of Human Services, OR	•		
Oregon Secretary of State, OR	•	•	•
Oregon State Parks, OR*		•	•
Portland Development Commission, OR*	•	•	•
San Mateo County Human Services, CA*			•
Somerset County Parks Commission, NJ	•		
Tacoma Public Utilities, WA*			•
Team Springfield, Springfield OR*		•	
Tualatin Hills Parks and Recreation District, OR*		•	•
Washington Department of Social and Health Services, WA	•		•
Washington State Health Care Authority, WA*	•		•
Washington State Traffic Safety Commission, WA*		•	
Washington Township Recreation Department, OH		•	
Westminster Legacy Foundation, CO*		•	
Willamalane Park and Recreation District, Springfield, OR*	•	•	

*Completed by a team member prior to joining BerryDunn

References

City of Westminster, Colorado

Strategic Plan Development

Don Tripp, City Manager

dtripp@cityofwestminster.us

303-658-2010

Project Dates: 02/2021 – Present

[Click here to view the City of Westminster's Strategic Plan](#)

The City engaged BerryDunn to conduct its strategic planning process. Each year, the City revisits its strategic plan to help ensure reaching its vision is realistic and actionable. Our project team led the City Council in a two-day retreat to refine identify new goals and objectives and lead City staff, department heads, and other stakeholders in identifying short-term actions and to support the goals and objectives within the plan and help ensure alignment with the City's vision and direction for the community. As a result, a one-page strategic plan update document was developed within the City's time constraints.

City of Beaverton, Oregon

Strategic Plan Development

Cheryl Twete, Director

ctwete@beavertonoregon.gov

503-246-2422

Project Dates: 09/2019 – Present

The City engaged BerryDunn to provide organizational assessment and business process improvement and leadership development services to improve the organizational and leadership performance of the City's Community Development Department (CDD).

Metro Parks Tacoma, Washington

Strategic Planning and Organizational Assessment Services

Shon Sylvia, Executive Director

shon@tacomaparks.com

253-305-1072

Project Dates: 01/2019 – Present

BerryDunn has worked with Metro Parks Tacoma on multiple strategic planning, organizational assessment and development, and leadership development initiatives. Our tasks have included organization structure review, assessment of current operations, succession planning, staffing, assessment of organizational competencies, assessment of existing matrix organization effectiveness, and restructuring recommendations as a result of a COVID-19-driven revenue shortfall.

City of Milton, Georgia

Strategic Planning

Steve Krokoff, City Manager

steven.krokoff@cityofmiltonga.us

s

678-242-2571

Project Dates: 07/2020 – Present

BerryDunn helped the City conduct its strategic planning process. Phases in this process included project initiation and planning, an environmental scan, community visioning, and strategic plan development. Most of this project took place 100% remotely and utilized tools, such as Social Pinpoint, to boost information sharing and community engagement efforts. The City Council Strategic Planning Retreat and team building with executive leadership was conducted on-site. Also part of this engagement is an emphasis on preservation related to the City's reputable high quality of life and current and anticipated growth.

C. Proposed Methods and Approach

Our Approach

Our team is pleased to propose a five-phased approach to complete SCLC’s project, illustrated below and described on subsequent pages.

A high-performing library cooperative’s strategic plan establishes a framework for the future with measurable objectives that guide the implementation of resources and services in alignment with the shared mission, vision, and varied community needs across member libraries.

Most importantly, the strategic plan will aspire to maximize value and benefits to all stakeholders. In SCLC’s case, these stakeholders include the Executive Committee, Administrative Council, relevant member library staff, and other community entities identified by SCLC. Our team will engage these stakeholders in ways that will maximize innovation, inspire collaboration, and create consensus for a future vision. The final plan isn’t meant to sit on a shelf, but should be designed to guide SCLC to implement positive changes on an ongoing basis.

Figure 2: Project Approach



Key Themes

Our team works with clients to chart a clear path to cultural change. Along the way, we prepare leaders to successfully improve their processes, services, and technologies. This involves implementing practical plans for change management at every level of the organization.

Our approach is defined by the following core practices:

- ▶ Building a shared understanding of vision, mission, values, and hopes for the future as well as the needs of the communities served
- ▶ Facilitating a safe and collaborative approach that promotes open dialogue and active involvement on difficult subjects and focuses on improving for the future
- ▶ Setting leaders and staff up for success
- ▶ Addressing and overcoming resistance to change
- ▶ Documenting step-by-step change management initiatives
- ▶ Crafting and managing stakeholder communications

Work Plan



Project Initiation

0.1 Conduct an initial project kick-off meeting. We will conduct an initial project planning and discovery session with the SCLC Executive Committee to identify project milestones and expectations for engagement. We will discuss our proposed project schedule, project work plan, and roles and responsibilities. We will also introduce key team members, clarify project goals and objectives, identify known project constraints, and refine dates and/or tasks as appropriate. Furthermore, we will discuss our approach for managing communications between BerryDunn and SCLC as well as our approach to scope, risk, and resource management.

0.2 Develop the Project Work Plan and Schedule. Based on the information gathered from our initial project planning and discovery session, we will develop the Project Work Plan and Schedule. This will outline the tasks, timelines, and expected involvement from the DNR leadership team. We will provide draft versions to the Executive Committee, and we will host a teleconference to review the documents before updating them to the final form.

Deliverable 1 – Project Work Plan and Schedule

0.3 Lead Monthly Status Meetings. Our project manager and lead consultant, Jason Genck, will lead Monthly Status Meetings with the Executive Committee (or representatives from the committee) throughout the planning process. Conducted via videoconference, we will use these meetings to describe the activities and accomplishments for the reporting period; plans for the upcoming month; risks or issues encountered during the reporting period; and anticipated problems that might impact project deliverables. We will also use these meetings to highlight any work products and approaches that will contribute to deliverable development.

Deliverable 2 – Monthly Status Meetings



Phase 1 Preliminary Organizational Assessment

1.1 Conduct comprehensive data review. One of the most important elements of this strategic planning process will be our team's ability to gain a breadth of knowledge about plans, structure, operations, and systems, as well as staff and member library communities. This will allow us to collaboratively work with you to create robust strategic initiatives. To start the process, we will submit an information request to key stakeholders, including the Executive Committee and Administrative Council members. Areas of review include, but are not limited:

- ▶ Previous strategic planning goals from SCLC and/or member libraries
- ▶ Organizational charts for member libraries, and staffing policies
- ▶ Documentation recording data such as annual visits, location of services, and operating hours
- ▶ Size and space documentation for member libraries

1.2 Develop draft survey for organizational assessment. We will develop an online survey to understand issues and challenges with current systems, processes, and operations. We anticipate

issuing this survey to Administrative Council members and identified member library staff, using their responses to help determine current and future needs. Prior to issuing the survey, we will review the survey questions with the SCLC Project Team.

1.3 Finalize organizational survey based on SCLC feedback. We will incorporate feedback from the SCLC Project Team to finalize the organizational survey, which will be the main centerpiece for engagement in the next phase. As identified in the RFP, key areas of focus will include:

- ▶ Three-year priorities for SCLC
- ▶ SCLC membership value to member library
- ▶ Activities to be prioritized in order to best serve the diverse populations reached by SCLC
- ▶ Best use of funds (CLSA, dues, grant indirect funds, etc.) and resource allocation criteria
- ▶ Organizational financial sustainability definition and execution
- ▶ SCLC vision and impact on Los Angeles and Ventura Counties
- ▶ Improved member library staff development and networking
- ▶ Prioritization methods for service distribution across member libraries

The intent of the questions will be to prompt respondents to reflect on each vision and focus area, and provide feedback on how SCLC supports that vision through its member libraries' roles in their communities and services.

Other example areas of focus that may help expand upon the identified questions from member libraries are:

Access to Services

- ▶ How are users currently accessing member library resources?
- ▶ What is the most pressing problem or concern facing member libraries when it comes to accessing physical locations and services?
- ▶ How successful have any digital library services initiatives been, such as the digital content management solution, and are there technology gaps across communities?
- ▶ How did the pandemic change access to member library services and what actions has SCLC taken to respond to these changes?

Outreach and Engagement

- ▶ What is SCLC's marketing strategy, and/or awareness of marketing/outreach efforts?
- ▶ What type of non-traditional services/promotions do SCLC and member libraries conduct to generate the interest of new users?

Equity

- ▶ How do outreach efforts relate to gap areas, and are accessibility and inclusion a factor?
- ▶ Do member library services and practices, such as collection development, represent the diverse needs of each community in Los Angeles and Ventura Counties?
- ▶ Are human resources (HR) practices, like recruitment; onboarding; training; and promoting diversity, equity and inclusion?
- ▶ How is continuous improvement linked to and informed by community input?

Deliverable 3: Organizational Survey



Phase 2 Engagement

2.1 Develop and administer online engagement platform. Given the restrictions the pandemic has placed upon in-person engagement and fact-finding, our team has sought to provide innovative channels to our clients that allow stakeholders to provide individual and group feedback, interact with each other and the consulting team, and keep up with project status.

The tool we have found to be most powerful to achieve this goal is Social Pinpoint, an online engagement platform that we will customize to reflect the exact goals, needs, objectives, and background for the SCLC strategic planning project. We will work with Executive Committee to ensure the landing page is built thoughtfully and speaks to the shared culture member libraries share. Within this landing page, staff and members will have access to surveys, forums, and idea walls, where they can provide feedback in whichever format (and from wherever) they feel most comfortable.

Deliverable 4: Customized Social Pinpoint Platform

Social Pinpoint: A Virtual Home Base

Social Pinpoint is a customizable community engagement platform that is used to inform stakeholders of project goals, objectives, and progress, and provide opportunities to interact and gather information. This comprehensive tool has several features that we will use frequently and as needed throughout the project, such as forums, maps, idea walls, surveys, and more.

With this tool, we will easily be able to set-up a landing page and sub-pages for SCLC to capture the essence of the planning initiative and staff, residents, business owners, community members, and other stakeholders, providing opportunities for participants to contribute to mission, values, vision, and strategic priorities. We will also be able to track analytics and progress in real-time, promote participation, and set-up email notifications to help ensure that, even in a remote environment, effective comprehensive planning and community engagement activities will take place.



*Iowa City, Iowa
Gather Here Master Plan Site*



*Milton, Georgia
Strategic Planning Site*

2.2 Host 3 – 6 virtual meetings to promote in-person conversations. During project planning, we will confirm the schedule for outreach and participation with the Executive Committee. Because our lead library consultant is based in the state, our team will also discuss the option of having in-person sessions, depending on SCLC presence and current recommended safety protocols.

2.2 Ongoing review of feedback with documentation of findings. Throughout the administration of the online survey via Social Pinpoint, our team will track results, data, and findings during other engagement activities.

2.4 Create draft Social Pinpoint engagement report. We will create a draft report that details our findings from Social Pinpoint engagement activities, using visuals and metrics to measure identify key patterns, shared opinions, and other key data points that will inform the overall Snapshot Report. After creating the draft, we will review findings from Social Pinpoint engagement with the Executive Committee to present initial data and collect feedback.

2.5 Create draft Snapshot Report. The following month, we will then prepare a draft Snapshot Report that details our with findings from research engagement efforts, aiming to give SCLC a clear picture of the results from input and engagement sessions. Following a review session with the Executive Committee and other identified stakeholders, we will incorporate feedback to finalize the Snapshot Report.

Deliverable 5: Snapshot Report

2.6 Develop and review protocols and goals for half-day in-person workshop. BerryDunn team will develop questions and protocols for the workshop. We will review these protocols with the Executive Committee before finalizing the formal workshop agenda and schedule. In addition to developing questions and protocols, we will also work with the Executive Committee to schedule and communicate opportunities for staff and Council members to prepare for the workshop.

Deliverable 6: Workshop Goals and Objectives

2.7 Conduct half-day in-person workshop. BerryDunn will facilitate this workshop for SCLC and other identified stakeholders to develop a set of overarching strategic goals and associated projects. As identified in the RFP, topics covered that will inform the eventual strategic plan include:

- ▶ Resource allocation strategies
- ▶ Key projects to prioritize over the next three years
- ▶ Strategic evaluation process for new initiatives or ideas that align with established roadmap
- ▶ Other priorities or projects that align with SCLC role and direction, but are not viable due to resources, funding, or other limitations

2.7 Document and review workshop findings. BerryDunn will document the findings of the in-person workshop, which will provide the foundation for the plan development in the next phase. We will facilitate a teleconference to review these findings with the Executive Committee before finalizing and proceeding to Phase 3.

Deliverable 7: Workshop Implementation and Report



Phase 3 Strategic Plan

3.1 Develop outcomes-based metrics. Our team will build off the findings of the first two phases to develop outcomes-based metrics to be utilized to support actionable and measurable goals for the strategic plan. BerryDunn is committed to developing actionable and attainable goals that are specific to organization needs and capabilities. Our team has decades of experience in developing such metrics and will tailor metrics to meet the SCLC needs and expectations.

3.2 Develop draft goals, metrics, and implementation steps. We will design and produce a work product that clearly conveys the strategic plan goals, metrics, and implementation trajectory for the SCLC. The goals will be:

- ▶ Confirm the goals, objectives, and actions that will SCLC forward in achieving its community vision
- ▶ Set initial target completion dates and work with SCLC staff to refine these dates
- ▶ Document the workshop outcomes to incorporate into the final document

The same team members who facilitated the community visioning forums will facilitate the strategic planning workshop with SCLC for consistency and lessons learned carryover.

3.3 Develop draft SCLC Strategic Plan. BerryDunn will draft the SCLC's next Strategic Plan in an agreed-upon format for the final document. The plan will be shaped around strategic focus areas and resulting prioritized goals, objectives, and actions to support vision and values; and performance metrics for measuring progress. Once drafted, we will facilitate a teleconference with the Executive Committee to gather input and suggestions for revisions. We will incorporate the input and provide a final draft of the strategic plan to the Executive Committee for distribution.

3.4 Facilitate Strategic Plan kickoff. BerryDunn will assist SCLC in developing goal-driven work teams and individuals who will execute the implementation of the Strategic Plan. Our team will facilitate the initial work-team meetings in order to set the Strategic Plan in motion.

3.5 Provide implementation support. We will help facilitate initial work team meetings once the teams are identified, providing guidance on best practices, such as:

- ▶ Visual management techniques
- ▶ Ongoing employee engagement (e.g., annual retreats, onboarding)
- ▶ Reporting mechanisms and communication
- ▶ Key performance indicators to monitor progress
- ▶ Internal marketing
- ▶ Ongoing plan adjustments

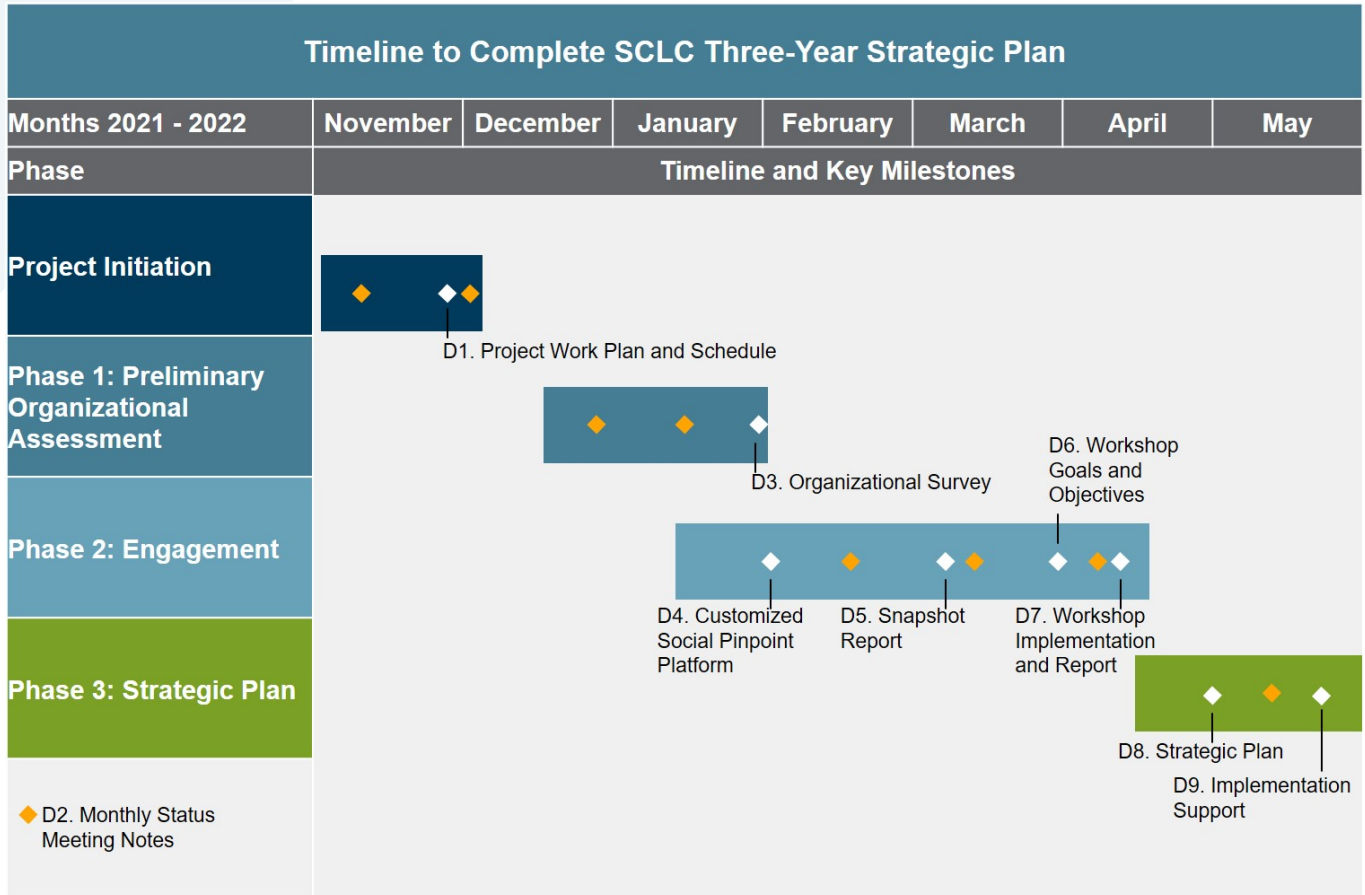
To help ensure the recommended strategies are actionable, we will implement a virtual review and discussion meeting with SCLC staff at 6 months and at 12 months after the plan is adopted to discuss any issues, challenges, successes of the plan's implementation.

Deliverable 9: Implementation Support

D. Project Timeline

Figure 3 below, outlines our proposed schedule for the SCLC's strategic planning initiative. We developed this timeline to align with the stated project start and end of November 2021 and May 2022, respectively.

Figure 3: Strategic Planning Timeline



E. Anticipated Deliverables

Our approach includes the development of nine deliverables that we believe will effectively document and describe our findings, observations, strategic goal development, and implementation facilitation. Each deliverable will be carefully integrated with change management activities including documentation reviews with the SCLC project team, and involvement of other project stakeholders at key points in the process. In Table 2, below, we provide a high-level overview of the deliverables included in our project work plan.

Table 2: Project Deliverables Overview

Deliverable	Benefit to SCLC
1: Project Work Plan and Schedule	This deliverable outlines a specific work plan that is reflective of any changes to the proposed work plan desired by SCLC, allowing you to have confidence that the project is on time and in scope.
2: Monthly Project Status Updates	Regular updates will allow SCLC to stay abreast of any factors that may affect the project’s schedule or outcome, allow our team to track progress, and foster strong project communication.
3: Organizational Survey	This deliverable will and collect input from SCLC members and stakeholders, with the intent to assess SCLC’s organization, systems, and operations. It will play a fundamental role in establishing internal stakeholders’ ability to be involved in the process.
4: Social Pinpoint Platform Administration	Our team will establish a project site via Social Pinpoint, which we will maintain during primary engagement activities and throughout the project. This site allows stakeholders to participate virtually and stay up to date on the project’s status.
5: Snapshot Report	This snapshot will summarize themes that emerged from the community and staff engagement mechanisms, which will inform our subsequent goal development and implementation activities.
6. Workshop Goals and Objectives	This deliverable will establish protocols and goals for the in-person workshop our team will facilitate with SCLC stakeholders, giving it the structure it needs to be successful and a good use of your time.
7. Workshop Implementation and Report	This report will document our findings from the workshop, and establish the foundational data for subsequent development of outcomes-based metrics and draft plan.
8. Strategic Plan	This final plan will outline SCLC’s strategic goals, metrics, and implementation steps, developed in collaboration with SCLC as a result of previous project activities.
9. Implementation Support	This support will enable our team to provide strategies to help SCLC gain insight and tools to successfully enact the steps outlined in the Strategic Plan.

F. Cost of Services Schedule

Table 3 presents the not to exceed fees for our proposed approach, broken down by the project phases described in the previous section. We have designed our proposed costs to align with SCLC’s stated budget and is inclusive of travel costs. These costs were also developed based on the following factors:

- ▶ Our detailed work plan narratives presented in this proposal
- ▶ Our staffing plan and resource allocation, which provides SCLC with the appropriate number of resources and a level of expertise to complete the tasks defined in the RFP
- ▶ Our experience conducting projects of similar scope and size

Table 3: Fees by Phase

No.	Phase	Fee
1	Project Initiation	\$2,100
2	Preliminary Organization Assessment	\$3,200
3	Engagement	\$12,540
4	Strategic Plan and Implementation	\$6,840
Total		\$24,680

Appendix: Individual Resumes

On the following pages, we have provided additional background and qualifications details for our proposed team leaders and supporting consultants, in the following order:

1. Jason Genck, Project Manager
2. Dr. Monique le Conge Ziesenhenné, Lead Library Consultant
3. Jesse Myott, Financial Planning SME
4. Don Begin, IT SME
5. Susan Hildreth, Library Adviser
6. Michelle Kennedy, Facilitation Adviser
7. Chad Snow, Project Principal



JASON GENCK, MPA, CPRP

Project Manager

EDUCATION AND CERTIFICATIONS

MPA, Arizona State University

BA, University of St. Francis

Certified Park and Recreation Professional (CPRP), National Recreation and Park Association (NRPA)

Jason Genck has nearly 30 years of experience in the parks, recreation, libraries industry, and is a sought-after thought leader in this space. Prior to joining BerryDunn's Parks, Recreation, Libraries Practice in 2021, Jason was executive director of the three-time Gold Medal Award Winning Westminster, Colorado, Parks, Recreation, and Libraries Department, where he oversaw a staff of more than 1,000 and served a city of approximately 115,000 residents. Jason recently helped guide Westminster's \$1 billion downtown development plan, transit oriented development plan, citywide COVID-19 social recovery efforts, the City's first ever Inclusivity Board, and focus area-specific plans in marketing and outreach, libraries, open space and cultural arts.

PROJECT EXPERIENCE

Library Strategic Plan, City of Richland, WA — Project Manager

Outdoor Adventure and Alternative Sports Master Plan, City of Denver, CO — Recreation Analyst (Prime firm: Livable Cities Studio)

Strategic Plan, Metro Parks Tacoma, WA — Business Analyst

Comprehensive Parks, Recreation, and Active Transportation Plan, City of Bozeman, Montana — Recreation Analyst (prime firm: Agency Landscape + Planning)

OTHER RELEVANT EXPERIENCE

City of Westminster, CO: Prior to joining BerryDunn, Jason was executive director of a parks, recreation, and library department that had a \$22 million annual operating budget; 1,000+ staff members; 65 parks, two full-service libraries, five recreation centers, three aquatic facilities, multiple sports complexes, two golf courses, and 150 miles of recreation trails. Jason provided executive level leadership to the design, development, operations, management and renovations of all parks and public spaces in Westminster. Most recently, he was responsible for the development and implementation of the award winning Westminster Station Park.

PROFESSIONAL AFFILIATIONS

National Recreation and Park Association (NRPA)

American Park and Recreation Society

Colorado Park and Recreation Association

Illinois Park and Recreation Association

American Academy for Park and Recreation Administration Extern Program

KEY FOCUS AREAS

Community Outreach and Marketing: During his tenure with the City of Westminster, Jason created and led one of the highest performing marketing and outreach teams in the United States. This experience has given him a deep understanding of the the challenges and opportunities of engaging the local and diverse communities (including those that are hard to reach) in Colorado, especially in the Denver Metro area.

Strategic Planning: Jason has overseen the development of numerous strategic plans, including a citywide strategic plan, libraries master plan, open space stewardship plan, arts and culture master plan, park and recreation district comprehensive plan and cost recovery models, organization restructure plans, and more. In particular, a recent libraries master plan became a source of tremendous pride for the staff and community.



**MONIQUE LE CONGE
ZIESENHENNE, PHD**

Lead Library Consultant

**EDUCATION AND
CERTIFICATIONS**

PhD, Managerial Leadership in the
Information Professions, Simmons
University

Master of Library & Information Studies
University of California, Berkeley

Bachelor of Science, Design University of
California, Davis

National Arts Strategies (NAS),
Alexandria, VA: The Chief Executive
Program (2013-2014)

Stanford University, CA: Stanford-
California State Library Institute on 21st
Century Librarianship (August 2000)

Dr. Monique le Conge Ziesenhenné brings broad public service leadership experience, including strategy, budgets, staff, and policy development. Most recently, she served in key leadership roles with the City of Palo Alto, including as Director of Library & Community Services and Assistant City Manager. Her perspective as an experienced practitioner will help our team tailor recommendations that are applicable for member libraries.

She has been involved in strategic planning for public libraries, including Palo Alto, Richmond, and Benicia, and for library systems like the North Bay Cooperative Library System (NBCLS, now part of NorthNet), Bay Area Library Information System (BALIS, now part of Pacific Library Partnership), and the Silicon Valley Library System (SVLS, now part of Pacific Library Partnership).

KEY FOCUS AREAS

Management:

- Plan, implement, and monitor budgets (dept. \$40 million +) from various sources; operating and capital.
- Develop policy related to all aspects of services and operational areas; track relevant legislation.
- Program development/management: establish timelines, survey, audit, and analyze needs for training, materials,
- supplies, programs, equipment, and facilities; negotiate contracts and purchasing agreements.
- Establish and monitor performance metrics; make decisions with appropriate data.

Program/Service Planning:

- Develop award-winning programs after identifying community needs through data, evaluation, and research.
- Present cultural programs emphasizing ethnic diversity, community demographics and feedback.
- Negotiate contracts, manage performance and consultants, work with partners to provide service enhancements.

PROFESSIONAL AFFILIATIONS

American Library Association (ALA)

Public Library Association President (2018-19)

California Library Association (CLA), President (2008); Vice-President (2007)

International City/County Managers Association (ICMA), Member

League of California Cities, Member

AWARDS

2020 Outstanding Achievement in Local Government Innovation, Alliance for Innovation (AFI), *Robotics in Libraries*, Palo Alto City Library

2019 Urban Libraries Council (ULC) Top Innovator, Leading Learning category, *Robotics in Libraries*, Palo Alto City Library

2014 Urban Libraries Council (ULC) Top Innovator, Honorable Mention, Leading Learning category, *makeX: Teen Mobile Makerspace*, Palo Alto City Library

International City Management Association (ICMA) Transformation Award (2010), Richmond Public Library



JESSE MYOTT

Business Analyst

EDUCATION AND CERTIFICATIONS

AS, Champlain College

BA, History, University of Rhode Island

MA, History, San Francisco State University

Jesse Myott brings nearly a decade of public sector experience, focusing on supporting municipalities with operating and capital improvement budget development and management; special fund accounting, revenue and expenditure forecasting; customer valuation; and cost of revenue analyses for municipal programs and services.

PROJECT EXPERIENCE

Recreation and Parks Masterplan Update, City of Norwalk, CT – Recreation Analyst (Prime firm: Kimley-Horn)

Outdoor Adventure and Alternative Sports Master Plan, City of Denver, CO – Recreation Analyst (Prime firm: Livable Cities Studio)

Parks and Recreation Needs Assessment and Master Plan, City of Lynchburg, VA – Recreation Analyst (Prime firm: Lose Design)

Local Rapid Response Planning, Massachusetts Department of Housing and Community Development – Subject Matter Expert

Golf Management System Selection Consulting, City of Boca Raton, FL – Business Analyst

Parks and Recreation Master Plan, City of Tampa, FL – Recreation Analyst (Prime firm: AECOM)

Building Fee Study, City of Gainesville, FL – Project Manager

PROFESSIONAL AFFILIATIONS

California Society of Municipal Finance Officers (CSMFO)

Municipal Management Association of Northern California (MMANC)

KEY FOCUS AREAS

Process Analysis: Jesse is an experienced municipal finance and management professional with nearly a decade of experience serving in many areas of local government both as an analyst and in management roles. His municipal business process knowledge extends through city administration, public works, water delivery and waste collection services, solid waste collection, public safety, economic development and redevelopment, library and recreation services, human resources, capital improvement program development, facility planning, compensation and benefits analysis, and city-wide operating budget planning, monitoring and delivery.

Fee Studies: Jesse has authored highly complex and sensitive fee studies, created detailed subsidy analyses, developed cost recovery models, and water and sewer rate setting models for a number of municipalities in the San Francisco Bay Area, California and Boston, Massachusetts area.



DONALD BEGIN, CCNA

Information Technology Subject Expert

EDUCATION AND CERTIFICATIONS

BA, University of North Florida

Cisco Certified Network Associate (CCNA)

CERTIFICATIONS PENDING

Project Management Professional®

Scrum Master, Lean Six Sigma Yellow Belt

Don Begin is a senior consultant in BerryDunn’s Local Government Practice Group. He has 20 years of experience providing IT leadership to public school districts and municipal governments. He specializes in developing and launching programs related to business continuity, disaster recovery, culture development, infrastructure develop, privacy and user security, and service-level enhancement.

PROJECT EXPERIENCE

Strategic Technology Plan, City of Bettendorf, IA — Technical Analyst

Strategic Technology Plan, City of Belmont, CA — Business Analyst

OTHER RELEVANT EXPERIENCE

Town of Scarborough, Maine: Prior to joining BerryDunn in 2021, Don was Director of Technology for the Town of Scarborough. There, he led a team of IT professionals that provided services to both the Town of Scarborough and Scarborough Public Schools in a community of over 20,000 citizens located in the greater Portland, ME area. This effort supported the combined resources of Municipal Services, Educational Services, Public Safety (Police, Fire & EMS), Economic Development, Public Works, Operations & Maintenance, and Community Services, as well as numerous physical campus locations.

KEY FOCUS AREAS

IT Leadership: Don has led technology visioning, program development, system implementation, and overall management for municipal services ranging from public safety to educational services, financial services, planning and development, public works, operations and maintenance, economic development, and more. He has optimized IT staff and infrastructure to reduce spending, managed multi-million dollar technology modernization and infrastructure projects, and improved operational metrics related to service and performance

Information Security: Throughout his career, Don has championed business continuity, disaster recovery, and IT risk mitigation. He is a Cisco Certified Network Associate (CCNA), skilled in physical, data, and network security, as well as emergency management planning.

Project Management: Don has provided project management support for several multi-million dollar initiatives, including projects with more than 150,000 stakeholders. He helped establish a project management office (PMO) and brought Project Management Institute (PMI)-based strategies to IT organizations.



CHAD SNOW, PMP®, CFE

Principal in Charge

EDUCATION AND CERTIFICATIONS

BA, Criminology, University of Southern Maine

AS, Law Enforcement Technology, Southern Maine Technical College

Project Management Professional® (PMP®), Project Management Institute

Certified Fraud Examiner (CFE) Association of CFEs

Chad Snow has more than 27 years of experience working with local government agencies and has extensive experience assisting government clients with project management, technology planning, business process improvement, system implementation and design, and enterprise systems. Prior to joining BerryDunn in 2006, Chad worked for a public sector system vendor, where he provided in-depth demonstrations on ERP, revenue, and public safety applications to prospective government clients in addition to providing project management and implementation support. He also served as a police officer in Maine for 10 years.

PRINCIPAL CLIENTS

- City of Beaverton, OR
- City of Bloomington, MN
- City of Boca Raton, FL
- City of Boston, MA
- City of Broken Arrow, OK
- City of Cambridge, MA
- City of Greensboro, NC
- City of Lauderdale Lakes, FL
- City of Midland, TX
- City of Parkland, FL
- City of Philadelphia, PA
- City of Sioux Falls, SD
- City of Springfield, MA
- City of Wilmington, NC
- Goochland County, VA
- Loudoun County, VA
- Metro Parks Tacoma, WA
- Minnehaha County, SD
- Outagamie County, WI
- Somerset County Parks District, NJ
- Three Rivers Park District, MN
- Town of Greenwich, CT
- Town of Leesburg, VA
- Town of Wells, ME
- Town of Manchester, CT
- Washington Township, OH
- Village of Schaumburg, IL

KEY FOCUS AREAS

Business Process Improvement: Chad has extensive experience working with local government agencies to review existing processes, identify inefficient activities, and recommend process changes to improve output metrics. His past experience includes multiple software implementations in the State of Connecticut that focused on aligning business processes with software functionality to improve operational efficiency, reporting, and data analysis. Prior to joining BerryDunn, Chad led the Connecticut Tax User Group while employed at Tyler Technologies. This group focused on functions related to the assessor and tax collector.

Operational and Organizational Assessments: Chad has over 20 years of experience leading local government operational and organizational assessments. Past projects have focused on analyzing organizations' operational efficiency and progress against strategic and tactical goals. Components of these projects, include, but are not limited to, scope involving staffing, organizational structure review, and collaboration across departments.

Recommendations Development: Chad focus is to recommend improvements for his clients that are actionable. He has an in-depth understanding of the local government operating environment and leverages this knowledge to develop recommends that align with operational goals and objectives. This experience includes work with the tax collector and assessor offices across the country to help align recommendations with available resources, staffing, and technology assets.



SUSAN HILDRETH, MBA

Library Adviser

EDUCATION AND CERTIFICATIONS

MBA, Rutgers University

MS, Library Scienc, State University of New York

BA, Syracuse University

Susan Hildreth is a nationally renowned library leader with nearly 50 years of experience. Susan has served as director of the Institute of Museum and Library Services; led California-based library systems such as the Sonoma County Library, Peninsula Library System, Pacific Library Partnership, The Califa Group, California State Library, and San Francisco Public Library; and taught 21st century library theory and practice at the University of Washington School of Information. She was inducted into the California Library Association (CLA) Library Hall of Fame in 2019.

KEY FOCUS AREAS

California Library Systems: Susan has led a number of California library systems. She served at state, county, and city levels, including State Librarian, a role she was appointed to by Governor Arnold Schwarzenegger in 2004. She has managed operating budgets ranging from \$75 million to \$1.5 million and received numerous awards for her dedication and excellence in the field.

Library Policy: As director of the federal Institute of Museum and Library Services, Susan was responsible for supporting the nation's museums and libraries. She was appointed to the role by President Obama and confirmed unanimously by Senate. In this position, she administered a \$250 million annual budget; worked with library organizations, foundations, and other interested stakeholders to leverage federal investments; advised Congress and the Obama Administration on information policy; worked to expand access to broadband and promote digital literacy; and worked with federal agencies to leverage the potential of libraries to strengthen communities.

PROFESSIONAL AFFILIATIONS

California Library Association (CLA) Library Hall of Fame

Syracuse University Library Advisory Board

Library of Congress Literacy Awards, Advisory Board Chair

Reach Out and Read National Board

American Library Association, Former Treasurer

PUBLICATIONS

Co-author of two chapters, Ask, Listen, Empower: Grounding Your Library Work in Community Engage-ment, ALA Publishing, Fall 2020



**MICHELLE KENNEDY,
PROSCI® CCP**

Facilitation Adviser

**EDUCATION AND
CERTIFICATIONS**

BA, Iowa State University

Prosci® Certified Change Practitioner

Certified in the Hogan Leadership Assessment System®, the Myers Briggs Type Indicator®, and the ICA ToP® Facilitation Methodology

Michelle Kennedy is a senior consultant in our Local Government Practice Group and brings 20 years of consulting experience in community engagement, strategic and business planning, leadership development and executive coaching, OCM, program evaluation, business process improvement, and performance measurement. She has provided consulting services and project leadership for state and local government agencies in Washington, Oregon, Illinois, Texas, Nevada, California, Oklahoma, West Virginia, and Hawaii. Prior to consulting, Michelle served for 13 years as a senior-level executive in government and higher education.

PROJECT EXPERIENCE

Library Strategic Plan, City of Richland, Washington — Lead Facilitator

Citywide Strategic Plan, City of Westminster, Colorado – Project Manager and Lead Facilitator

Strategic Plan, City of Cooper City, Florida – Project Manager and Lead Facilitator

Citywide Strategic Plan, City of Milton, Georgia – Project Manager and Lead Facilitator

Organizational and Business Process Redesign, Metro Parks Tacoma, Washington – Project Manager

Executive Coaching, Leadership Development and Strategic Planning, City of Beaverton Community Development Department – Project Manager

Strategic Planning, Lake County, Illinois – Project Manager

Strategic Planning, Washington State Traffic Safety Commission – Project Manager

County Administrator Review and Executive Coaching, Clatsop County, Oregon – Project Manager

Community Needs Assessment and Four-Year Human Services Strategic Plan, City of Tacoma, Washington Human Services Department – Project Manager

Strategic Planning, Oregon Workforce Investment Board/Governor’s Office – Project Manager

PROFESSIONAL AFFILIATIONS

Member, Organizational Development Network

KEY FOCUS AREAS

Organizational Assessments: Michelle is well-versed in conducting assessments related to organizational structure, the methods and tools related to the delivery of organizational programs and services, and the culture of the organization. Her reviews also include assessing leadership structures, roles, and styles; methods of knowledge and skill preservation; and succession strategies and plans.

Change Management: Michelle recognizes the importance of change management in all the projects she is involved in. She is well-versed in conducting change readiness assessments, involving key stakeholders in the decision-making process to promote buy-in and build consensus, and actively monitoring project progress to help ensure that resistance is addressed early-on. She leverages her certification in the Prosci® change management methodology and facilitation methodology certifications to provide value to her clients



DATE: December 1, 2021
TO: SCLC Administrative Council
FROM: Diane Z. Bednarski
SUBJECT: AB 361: Brown Act – Remote Meetings During State of Emergency

BACKGROUND: On September 16, 2021, the Governor signed AB 361 which allows local agencies to continue to use teleconferencing during a declared state of emergency without adhering to certain Brown Act provisions. Absent this legislation, local agencies would have had to return to traditional Brown Act meeting requirements beginning on October 1, 2021.

Some of the relaxed provisions permitted under AB 361 are:

- The ability to conduct the meeting in an exclusively virtual environment, provided that a means of real-time input from the public is supported.
- The ability for councilmembers to participate via teleconference from any location (including outside of LA/Ventura County) and count toward the meeting quorum.
- The suspension of the need to make each teleconferencing location accessible to the public.
- The elimination of the requirement to list the physical addresses of each councilmember teleconference location in the posting agenda.

Among the specified requirements to comply with AB 361 are the following:

Resolution Adoption. In advance of the first post-September 30, 2021 meeting, adopt a resolution that (a) the agency has reconsidered the circumstances of the state of emergency, and (b) resolve that the emergency either continues to directly impact the ability of members to meet safely in person, or state or local officials continue to impose or recommend measures to promote social distancing.

Resolution Renewal. The agency shall reaffirm its resolution by majority vote every 30 days thereafter.

Subcommittees. A resolution shall be adopted by each subcommittee of the agency if the subcommittee also seeks to invoke the relaxed Brown Act provisions provided by AB 361.

Legal counsel for SCLC has advised that in application, many California public agencies have adopted resolutions in a manner that is deemed consistent with the intent of AB

Southern California Library Cooperative

254 North Lake Avenue #874 • Pasadena, California 91101

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Website: <http://www.socallibraries.org> • E-mail: sclichq@socallibraries.org

361 although not strictly adherent. Those adoptions have been performed without any legal challenge to date. Specifically:

Resolution Adoption. A number of California legislative bodies have adopted their initial AB 361 resolution at the beginning of their first scheduled meeting after September 30, rather than scheduling a special meeting to focus on the adoption of a resolution alone.

Resolution Renewal. If a public agency is willing to accept the legal risk for these situations, it can take the position that the statute was meant to still allow remote meetings if more than 30 days had passed, provided that at the very first meeting since the last time the findings were made, the legislative body makes the requisite findings. That is, the legislature did not mean what it said, and that the 30-day language was meant to help, rather than hinder the operation of local government.

Subcommittees. The League of California City's Brown Act committee interpreted the AB 361 language to support either (1) the main legislative body (e.g., city council, board of directors) may make the finding on behalf of all committees within the organization; or (2) each committee in the organization must make its own finding.

DISCUSSION: SCLC's December 1, 2021 has been posted and structured to comply with traditional Brown Act requirements and does not rely on AB 361 provisions. SCLC Administrative Council should determine if it feels that emergency conditions exist to support the adoption of AB 361 provisions for upcoming meetings. If this path is chosen, SCLC shall discuss its approach to adopting and renewing its resolutions, and whether the SCLC committees shall be covered under an umbrella resolution of the Administrative Council.

FISCAL IMPACT: None.

RECOMMENDATION: TBD – Either adopt a resolution that attests to a continued state of emergency and need to follow the provisions allowed by AB 361, or choose to continue meeting under the traditional Brown Act requirements per Government Code 54953(b). If AB 361 is to be applied, adopt the resolution:

Be it resolved that the SCLC Administrative Council reconsidered the circumstances of the state of emergency declared by the Governor and at least one of the following is true: (1) The state of emergency, continues to directly impact the ability of the members of this legislative body to meet safely in person; and/or (2) State or local officials continue to impose or recommend measures to promote social distancing.”



AC Agenda Item 11

DATE: December 1, 2021
TO: SCLC Administrative Council
FROM: Lori Graver, Administrative Assistant
SUBJECT: Conflict of Interest, Form 700 Submissions

BACKGROUND: The California Fair Political Practices Commission (FPPC) requires public employees who make or influence governmental decisions to submit a Statement of Economic Interest, also known as the Form 700 – on an annual basis or upon assuming or departing office. SCLC Administrative Councilmembers send SCLC their completed forms representing economic interests in the 2021 calendar year no later than Friday, April 1, 2022 to comply with the FPPC deadline.

Email notifications will be sent to Councilmembers in January 2022.

After completing the form(s), send with original, wet signature to:

Lori Graver
c/o SCLC
254 N. Lake Ave. #874
Pasadena, CA 91101

FISCAL IMPACT: None.

RECOMMENDATION: Councilmembers are asked to send their original completed Form 700 with wet signature to:

Lori Graver
c/o SCLC
254 N. Lake Ave. #874
Pasadena, CA 91101

Attachments: (4)

Form 700 Instructions

Options:

- 1) Add SCLC to the form submitted with your jurisdiction, listing Southern California Library Cooperative and your position as Council member or officer (Chair, Vice-Chair, or Past Chair) as appropriate. Send a copy to SCLC, with your original, wet signature.

Or

- 2) Complete the attached Form 700. The form must be completed, printed, and returned with original, wet signature.

Directions: beginning on page five

1. Name of filer
2. Section 1
 - a. *Agency Name* is Southern California Library Cooperative
 - b. *Division, Board, Department...* is Administrative Council.
 - c. *Your Position* is Council Member or your officer position (Chair, Vice-Chair, or Past Chair).
3. Section 2: Check the *Multi-County* box and list Los Angeles and Ventura.
4. Section 3: *Type of Statement*, please check the box for *Annual* if you have been serving in your position prior to October 1, 2021.
Please check the box for *Assuming Office* and fill in the date you began your position if you began in your position after October 1, 2021 and have not already completed the form.
5. Section 4, check the appropriate schedule(s) and attach the corresponding completed schedules, or check *None* if applicable.
 - a. You are only responsible for reporting economic interests (i.e., investments, businesses, loans, personal income, or gifts) which may be in conflict with decisions or policies affecting the operation and management of SCLC. Please see the attached SCLC Conflict of Interest Code.
6. Section 5: Complete the Verification section, using your work address, work phone and work email, then sign and date.
7. After completing the form(s), send with original, wet signature to:
Lori Graver
Southern California Library Cooperative
254 N. Lake Ave. #874
Pasadena, CA 91101

Please contact me, if you have any questions.

2020-2021 Statement of Economic Interests



Form 700

A Public Document

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Helpful Resources

- Video Tutorials
- Reference Pamphlet
- Excel Version
- FAQs
- Gift and Travel Fact Sheet for State and Local Officials

California Fair Political Practices Commission

1102 Q Street, Suite 3000 • Sacramento, CA 95811

Email Advice: advice@fppc.ca.gov

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

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

Quick Start Guide

Detailed instructions begin on page 3.

WHEN IS THE ANNUAL STATEMENT DUE?

- March 1 – Elected State Officers, Judges and Court Commissioners, State Board and Commission members listed in Government Code Section 87200
- April 1 – Most other filers

WHERE DO I FILE?

Most people file the Form 700 with their agency. If you're not sure where to file your Form 700, contact your filing officer or the person who asked you to complete it.

ITEMS TO NOTE!

- The Form 700 is a public document.
- Only filers serving in active military duty may receive an extension on the filing deadline.
- You must also report interests held by your spouse or registered domestic partner.
- Your agency's conflict of interest code will help you to complete the Form 700. You are encouraged to get your conflict of interest code from the person who asked you to complete the Form 700.

NOTHING TO REPORT?

Mark the "No reportable interests" box on Part 4 of the Cover Page, and submit only the signed Cover Page. Please review each schedule carefully!

Schedule	Common Reportable Interests	Common Non-Reportable Interests
A-1: Investments	Stocks, including those held in an IRA or 401K. Each stock must be listed.	Insurance policies, government bonds, diversified mutual funds, funds similar to diversified mutual funds.
A-2: Business Entities/Trusts	Business entities, sole proprietorships, partnerships, LLCs, corporations and trusts. (e.g., Form 1099 filers).	Savings and checking accounts, and annuities.
B: Real Property	Rental property in filer's jurisdiction, or within two miles of the boundaries of the jurisdiction.	A residence used exclusively as a personal residence (such as a home or vacation property).
C: Income	Non-governmental salaries. Note that filers are required to report only half of their spouse's or partner's salary.	Governmental salary (from school district, for example).
D: Gifts	Gifts from businesses, vendors, or other contractors (meals, tickets, etc.).	Gifts from family members.
E: Travel Payments	Travel payments from third parties (not your employer).	Travel paid by your government agency.

Note: Like reportable interests, non-reportable interests may also create conflicts of interest and could be grounds for disqualification from certain decisions.

QUESTIONS?

- advice@fppc.ca.gov
- (866) 275-3772 Mon-Thurs, 9-11:30 a.m.

E-FILING ISSUES?

- If using your agency's system, please contact technical support at your agency.
- If using FPPC's e-filing system, write to form700@fppc.ca.gov.

What's New

Gift Limit Increase

The gift limit increased to **\$520** for calendar years **2021** and **2022**. The gift limit in 2020 was **\$500**.

Who must file:

- Elected and appointed officials and candidates listed in Government Code Section 87200
- Employees, appointed officials, and consultants 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)

Exception:

- Candidates for a county central committee are not required to file the Form 700.
- Members of newly created boards and commissions not yet covered under a conflict of interest code
- Employees in newly created positions of existing agencies

For more information, see Reference Pamphlet, page 3, at www.fppc.ca.gov.

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, Employees, and Consultants Designated in a Conflict of Interest

Code: File with your agency, board, or commission unless otherwise specified in your agency’s 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 3.)

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 or be duly authorized by your filing officer to file electronically under Government Code Section 87500.2.

When to file:

Annual Statements

⇒ March 1, 2021

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

⇒ April 1, 2021

- 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.

Statements of 30 pages or less may be emailed or 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.

Assuming Office and Leaving Office 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.

Exception:

If you assumed office between October 1, 2020, and December 31, 2020, and filed an assuming office statement, you are not required to file an annual statement until March 1, 2022, or April 1, 2022, whichever is applicable. The annual statement will cover the day after you assumed office through December 31, 2021. (See Reference Pamphlet, page 6, for additional exceptions.)

Candidate Statements

File no later than the final filing date for the declaration of candidacy or nomination documents. A candidate statement is not required if you filed an assuming office or annual statement for the same jurisdiction within 60 days before filing a declaration of candidacy or other nomination documents.

Late Statements

There is no provision for filing deadline extensions unless the filer is serving in active military duty. (See page 19 for information on penalties and fines.)

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.

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.

- Report: 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.

For positions subject to confirmation by the State Senate or the Commission on Judicial Appointments, 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.

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.

- Report: 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.

Annual Statement:

Generally, the period covered is January 1, 2020, through December 31, 2020. If the period covered by the statement is different than January 1, 2020, through December 31, 2020, (for example, you assumed office between October 1, 2019, and December 31, 2019 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 2020.

- 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, 2020, through the date you stopped performing the duties of your position. If the period covered differs from January 1, 2020, through the date you stopped performing the duties of your position (for example, you assumed office between October 1, 2019, and December 31, 2019, or you are combining statements), the period covered must be specified. The reporting period can cover parts of two calendar years.

- Report: Investments, interests in real property, business positions held, and income (including loans, gifts, and travel payments) received during the period covered by the statement. 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 2020.

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, or water district board members) must file candidate statements, as required by the conflict of interest code for the elected position. The code may be obtained from the agency of 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. Obtain amendment schedules from the FPPC website at www.fppc.ca.gov.

Note: Once you file your statement, you may not withdraw it. All changes must be noted on amendment schedules.

**STATEMENT OF ECONOMIC INTERESTS
COVER PAGE
A PUBLIC DOCUMENT**

Please type or print in ink.

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

1. Office, Agency, or Court

Agency Name (Do not use acronyms)

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

► If filing for multiple positions, list below or on an attachment. (Do not use acronyms)

Agency: Position:

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

State Judge, Retired Judge, Pro Tem Judge, or Court Commissioner (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, 2020, through December 31, 2020. Leaving Office: Date Left (Check one circle.)
-or- The period covered is through December 31, 2020. The period covered is January 1, 2020, through the date of leaving office.
-or- Assuming Office: Date assumed The period covered is through the date of leaving office.
Candidate: Date of Election and office sought, if different than Part 1:

4. Schedule Summary (must complete) ► Total number of pages including this cover page:

Schedules attached

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 EMAIL 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 paper statement with your filing official.)

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). **Do not use acronyms.**
- 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. **Do not use acronyms.** 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.

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 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.

Example:

Brian Bourne is a city council member for the City of Lincoln and a board member for the Camp Far West Irrigation District – a multi-county agency that covers Placer and Yuba counties. Brian 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, Brian 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.

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 13, 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.

Example:

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

1. Office, Agency, or Court	
Agency Name (Do not use acronyms) Feather River Irrigation District	
Division, Board, Department, District, if applicable N/A	Your Position Board Member
► If filing for multiple positions, list below or on an attachment. (Do not use acronyms)	
Agency: N/A	Position:
2. Jurisdiction of Office (Check at least one box)	
<input type="checkbox"/> State	<input type="checkbox"/> Judge or Court Commissioner (Statewide Jurisdiction)
<input checked="" type="checkbox"/> Multi-County Yuba & Sutter Counties	<input type="checkbox"/> County of _____
<input type="checkbox"/> City of _____	<input type="checkbox"/> Other _____

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 2020 annual statement, **do not** change the pre-printed dates to reflect 2021. Your annual statement is used for reporting the **previous year's** economic interests. Economic interests for your annual filing covering January 1, 2021, through December 31, 2021, will be disclosed on your statement filed in 2022. See Reference Pamphlet, page 4.

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

- Complete the Schedule Summary after you have reviewed each schedule to determine if you have reportable interests.
- 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. All statements must have an original “wet” signature or be duly authorized by your filing officer to file electronically under Government Code Section 87500.2.

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.

SCHEDULE A-1

Investments

Stocks, Bonds, and Other Interests

(Ownership Interest is Less Than 10%)

Investments must be itemized.

Do not attach brokerage or financial statements.

CALIFORNIA FORM 700 FAIR POLITICAL PRACTICES COMMISSION Name _____

▶ NAME OF BUSINESS ENTITY _____

GENERAL DESCRIPTION OF THIS BUSINESS _____

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:

_____/_____/20 ____/_____/20
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY _____

GENERAL DESCRIPTION OF THIS BUSINESS _____

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:

_____/_____/20 ____/_____/20
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY _____

GENERAL DESCRIPTION OF THIS BUSINESS _____

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:

_____/_____/20 ____/_____/20
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY _____

GENERAL DESCRIPTION OF THIS BUSINESS _____

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:

_____/_____/20 ____/_____/20
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY _____

GENERAL DESCRIPTION OF THIS BUSINESS _____

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:

_____/_____/20 ____/_____/20
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY _____

GENERAL DESCRIPTION OF THIS BUSINESS _____

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:

_____/_____/20 ____/_____/20
ACQUIRED DISPOSED

Comments: _____

Instructions – Schedules A-1 and A-2 Investments

“Investment” means a financial interest in any business entity (including a consulting business or other independent contracting business) 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 13.)

Reportable investments include:

- Stocks, bonds, warrants, and options, including those held in margin or brokerage accounts and managed investment funds (See Reference Pamphlet, page 13.)
- Sole proprietorships
- Your own business or your spouse’s or registered domestic partner’s business (See Reference Pamphlet, page 8, for the definition of “business entity.”)
- Your spouse’s or registered domestic partner’s investments even if they 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 15.)
- 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 16, for more information on disclosing trusts.)
- Business trusts

You are not required to disclose:

- Government bonds, diversified mutual funds, certain funds similar to diversified mutual funds (such as exchange traded funds) and investments held in certain retirement accounts. (See Reference Pamphlet, page 13.) (Regulation 18237)
- Bank accounts, savings accounts, money market accounts and certificates of deposits
- Insurance policies
- Annuities
- Commodities
- Shares in a credit union
- Government bonds (including municipal bonds)
- Retirement accounts invested in non-reportable interests (e.g., insurance policies, mutual funds, or government bonds) (See Reference Pamphlet, page 15.)

- Government defined-benefit pension plans (such as CalPERS and CalSTRS plans)
- Certain interests held in a blind trust (See Reference Pamphlet, page 16.)

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. (See page 20 for more information.)
- 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:

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

Alice Lance is a city council member. She has a 4% interest, worth \$5,000, in a limited partnership located in the city. Alice 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-2

Investments, Income, and Assets of Business Entities/Trusts

(Ownership Interest is 10% or Greater)

CALIFORNIA FORM 700

FAIR POLITICAL PRACTICES COMMISSION

Name _____

▶ 1. BUSINESS ENTITY OR TRUST

Name _____

Address (Business Address Acceptable) _____

Check one
 Trust, go to 2 Business Entity, complete the box, then go to 2

GENERAL DESCRIPTION OF THIS BUSINESS

FAIR MARKET VALUE IF APPLICABLE, LIST DATE:

\$0 - \$1,999			
\$2,000 - \$10,000	____/____/20	____/____/20	
\$10,001 - \$100,000	ACQUIRED	DISPOSED	
\$100,001 - \$1,000,000			
Over \$1,000,000			

NATURE OF INVESTMENT

Partnership Sole Proprietorship _____ Other

YOUR BUSINESS POSITION _____

▶ 2. IDENTIFY THE GROSS INCOME RECEIVED (INCLUDE YOUR PRO RATA SHARE OF THE GROSS INCOME TO THE ENTITY/TRUST)

\$0 - \$499	\$10,001 - \$100,000
\$500 - \$1,000	OVER \$100,000
\$1,001 - \$10,000	

▶ 3. LIST THE NAME OF EACH REPORTABLE SINGLE SOURCE OF INCOME OF \$10,000 OR MORE (Attach a separate sheet if necessary.)

None or Names listed below _____

▶ 4. INVESTMENTS AND INTERESTS IN REAL PROPERTY HELD OR LEASED BY THE BUSINESS ENTITY OR TRUST

Check one box:

INVESTMENT REAL PROPERTY

Name of Business Entity, if Investment, or Assessor's Parcel Number or Street Address of Real Property _____

Description of Business Activity or City or Other Precise Location of Real Property _____

FAIR MARKET VALUE IF APPLICABLE, LIST DATE:

\$2,000 - \$10,000			
\$10,001 - \$100,000	____/____/20	____/____/20	
\$100,001 - \$1,000,000	ACQUIRED	DISPOSED	
Over \$1,000,000			

NATURE OF INTEREST

Property Ownership/Deed of Trust Stock Partnership

Leasehold _____ Other _____

Yrs. remaining

Check box if additional schedules reporting investments or real property are attached

▶ 1. BUSINESS ENTITY OR TRUST

Name _____

Address (Business Address Acceptable) _____

Check one
 Trust, go to 2 Business Entity, complete the box, then go to 2

GENERAL DESCRIPTION OF THIS BUSINESS

FAIR MARKET VALUE IF APPLICABLE, LIST DATE:

\$0 - \$1,999			
\$2,000 - \$10,000	____/____/20	____/____/20	
\$10,001 - \$100,000	ACQUIRED	DISPOSED	
\$100,001 - \$1,000,000			
Over \$1,000,000			

NATURE OF INVESTMENT

Partnership Sole Proprietorship _____ Other

YOUR BUSINESS POSITION _____

▶ 2. IDENTIFY THE GROSS INCOME RECEIVED (INCLUDE YOUR PRO RATA SHARE OF THE GROSS INCOME TO THE ENTITY/TRUST)

\$0 - \$499	\$10,001 - \$100,000
\$500 - \$1,000	OVER \$100,000
\$1,001 - \$10,000	

▶ 3. LIST THE NAME OF EACH REPORTABLE SINGLE SOURCE OF INCOME OF \$10,000 OR MORE (Attach a separate sheet if necessary.)

None or Names listed below _____

▶ 4. INVESTMENTS AND INTERESTS IN REAL PROPERTY HELD OR LEASED BY THE BUSINESS ENTITY OR TRUST

Check one box:

INVESTMENT REAL PROPERTY

Name of Business Entity, if Investment, or Assessor's Parcel Number or Street Address of Real Property _____

Description of Business Activity or City or Other Precise Location of Real Property _____

FAIR MARKET VALUE IF APPLICABLE, LIST DATE:

\$2,000 - \$10,000			
\$10,001 - \$100,000	____/____/20	____/____/20	
\$100,001 - \$1,000,000	ACQUIRED	DISPOSED	
Over \$1,000,000			

NATURE OF INTEREST

Property Ownership/Deed of Trust Stock Partnership

Leasehold _____ Other _____

Yrs. remaining

Check box if additional schedules reporting investments or real property are attached

Comments: _____

Instructions – Schedule A-2

Investments, Income, and Assets of Business Entities/Trusts

Use Schedule A-2 to report investments in a business entity (including a consulting business or other independent contracting business) or trust (including a living trust) in which you, your spouse or registered domestic partner, and your dependent children, together or separately, 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 13.) A trust located outside your agency's jurisdiction is reportable if it holds assets that are located in or doing business in the jurisdiction. Do not report a trust that contains non-reportable interests. For example, a trust containing only your personal residence not used in whole or in part as a business, your savings account, and some municipal bonds, is 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). A business position held by your spouse is not reportable.

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 11, 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 8.)

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.

Mark "None" if you do not have any reportable \$10,000 sources of income to disclose. Phrases such as "various clients" or "not disclosing sources pursuant to attorney-client privilege" are not adequate disclosure. (See Reference Pamphlet, page 14, for information on procedures to request an exemption from disclosing privileged information.)

Part 4. Report any investments or interests in real property held or leased **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 precise location (e.g., an assessor's parcel number or address).
- 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.

SCHEDULE B
Interests in Real Property
 (Including Rental Income)

Name _____

▶ ASSESSOR'S PARCEL NUMBER OR STREET ADDRESS _____

CITY _____

FAIR MARKET VALUE IF APPLICABLE, LIST DATE:

\$2,000 - \$10,000		
\$10,001 - \$100,000	____/____/20	____/____/20
\$100,001 - \$1,000,000	ACQUIRED	DISPOSED
Over \$1,000,000		

NATURE OF INTEREST

Ownership/Deed of Trust	Easement
Leasehold _____	_____
Yrs. remaining	Other

IF RENTAL PROPERTY, GROSS INCOME RECEIVED

\$0 - \$499	\$500 - \$1,000	\$1,001 - \$10,000
\$10,001 - \$100,000	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.

None

▶ ASSESSOR'S PARCEL NUMBER OR STREET ADDRESS _____

CITY _____

FAIR MARKET VALUE IF APPLICABLE, LIST DATE:

\$2,000 - \$10,000		
\$10,001 - \$100,000	____/____/20	____/____/20
\$100,001 - \$1,000,000	ACQUIRED	DISPOSED
Over \$1,000,000		

NATURE OF INTEREST

Ownership/Deed of Trust	Easement
Leasehold _____	_____
Yrs. remaining	Other

IF RENTAL PROPERTY, GROSS INCOME RECEIVED

\$0 - \$499	\$500 - \$1,000	\$1,001 - \$10,000
\$10,001 - \$100,000	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.

None

* You are not required to report loans from a commercial lending institution 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* _____

ADDRESS (Business Address Acceptable) _____

BUSINESS ACTIVITY, IF ANY, OF LENDER _____

INTEREST RATE TERM (Months/Years)

_____%	None	_____
--------	------	-------

HIGHEST BALANCE DURING REPORTING PERIOD

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

Guarantor, if applicable _____

NAME OF LENDER* _____

ADDRESS (Business Address Acceptable) _____

BUSINESS ACTIVITY, IF ANY, OF LENDER _____

INTEREST RATE TERM (Months/Years)

_____%	None	_____
--------	------	-------

HIGHEST BALANCE DURING REPORTING PERIOD

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

Guarantor, if applicable _____

Comments: _____

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. Real property is also considered to be "within the jurisdiction" of a local government agency if the property or any part of it is located within two miles outside the boundaries of the jurisdiction or within two miles of any land owned or used by the local government agency. (See Reference Pamphlet, page 13.)

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 14.)
- A mining lease
- An interest in real property held in a retirement account (See Reference Pamphlet, page 15.)
- 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 in which you rent out a room or 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.)
- Some interests in real property held through a blind trust (See Reference Pamphlet, page 16.)
 - **Please note:** A non-reportable property can still be grounds for a conflict of interest and may be disqualifying.

To Complete Schedule B:

- Report the precise location (e.g., an assessor's parcel number or address) 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,

Reminders

- Income and loans already reported on Schedule B are not also required to be reported on Schedule C.
- Real property already reported on Schedule A-2, Part 4 is not also required to be reported on Schedule B.
- Code filers – do your disclosure categories require disclosure of real property?

disclose the number of years remaining on the lease.

- 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, mark "None."
- 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:

Allison Gande is a city planning commissioner. During the reporting period, she received rental income of \$12,000, from a single tenant who rented property she owned in the city's jurisdiction. If Allison received \$6,000 each from two tenants, the tenants' names would not be required because no single tenant paid her \$10,000 or more. A married couple is considered a single tenant.

ASSESSOR'S PARCEL NUMBER OR STREET ADDRESS 4600 24th Street	
CITY Sacramento	
FAIR MARKET VALUE <input type="checkbox"/> \$2,000 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input checked="" type="checkbox"/> \$100,001 - \$1,000,000 <input type="checkbox"/> Over \$1,000,000	IF APPLICABLE, LIST DATE: ____/____/19 XX ____/____/19 XX ACQUIRED DISPOSED
NATURE OF INTEREST <input type="checkbox"/> Ownership/Deed of Trust <input type="checkbox"/> Easement <input type="checkbox"/> Leasehold Yrs. remaining: _____ Other: _____	
IF RENTAL PROPERTY, GROSS INCOME RECEIVED <input type="checkbox"/> \$0 - \$499 <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	
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. <input type="checkbox"/> None Henry Wells	
NAME OF LENDER* Sophia Petroillo	
ADDRESS (Business Address Acceptable) 2121 Blue Sky Parkway, Sacramento	
BUSINESS ACTIVITY, IF ANY, OF LENDER Restaurant Owner	
INTEREST RATE 8 % <input type="checkbox"/> None	TERM (Months/Years) 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	
Comments: _____	

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 <i>(Business Address Acceptable)</i> _____		ADDRESS <i>(Business Address Acceptable)</i> _____	
BUSINESS ACTIVITY, IF ANY, OF SOURCE _____		BUSINESS ACTIVITY, IF ANY, OF SOURCE _____	
YOUR BUSINESS POSITION _____		YOUR BUSINESS POSITION _____	
GROSS INCOME RECEIVED	No Income - Business Position Only	GROSS INCOME RECEIVED	No Income - Business Position Only
\$500 - \$1,000	\$1,001 - \$10,000	\$500 - \$1,000	\$1,001 - \$10,000
\$10,001 - \$100,000	OVER \$100,000	\$10,001 - \$100,000	OVER \$100,000
CONSIDERATION FOR WHICH INCOME WAS RECEIVED		CONSIDERATION FOR WHICH INCOME WAS RECEIVED	
Salary	Spouse's or registered domestic partner's income <i>(For self-employed use Schedule A-2.)</i>	Salary	Spouse's or registered domestic partner's income <i>(For self-employed use Schedule A-2.)</i>
Partnership <i>(Less than 10% ownership. For 10% or greater use Schedule A-2.)</i>		Partnership <i>(Less than 10% ownership. For 10% or greater use Schedule A-2.)</i>	
Sale of _____ <i>(Real property, car, boat, etc.)</i>		Sale of _____ <i>(Real property, car, boat, etc.)</i>	
Loan repayment		Loan repayment	
Commission or Rental Income, <i>list each source of \$10,000 or more</i>		Commission or Rental Income, <i>list each source of \$10,000 or more</i>	
_____ <i>(Describe)</i>		_____ <i>(Describe)</i>	
Other _____ <i>(Describe)</i>		Other _____ <i>(Describe)</i>	

▶ 2. LOANS RECEIVED OR OUTSTANDING DURING THE REPORTING PERIOD

* You are not required to report loans from a commercial lending institution, 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 _____ %	TERM (Months/Years) _____
ADDRESS <i>(Business Address Acceptable)</i> _____	None _____	
BUSINESS ACTIVITY, IF ANY, OF LENDER _____	SECURITY FOR LOAN	
HIGHEST BALANCE DURING REPORTING PERIOD	None _____ Personal residence _____	
\$500 - \$1,000	Real Property _____ <i>Street address</i>	
\$1,001 - \$10,000	_____ <i>City</i>	
\$10,001 - \$100,000	Guarantor _____	
OVER \$100,000	Other _____ <i>(Describe)</i>	

Comments: _____

Instructions – Schedule C

Income, Loans, & Business Positions

(Income Other Than Gifts and Travel Payments)

Reporting Income:

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 11.) 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.

The source and 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 13.) Reportable sources of income may be further limited by your disclosure category located in your agency's conflict of interest code.

Reporting Business Positions:

You must report your job title with each reportable business entity even if you received no income during the reporting period. Use the comments section to indicate that no income was received.

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 8.)
- 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
- An honorarium received prior to becoming a public official (See Reference Pamphlet, page 10.)
- Incentive compensation (See Reference Pamphlet, page 12.)

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.
- Stock dividends and income from the sale of stock unless the source can be identified.
- Income from a PERS retirement account.

(See Reference Pamphlet, page 12.)

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.
- 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 8.) **Note: If you receive commission income on a regular basis or have an ownership interest of 10% or more, you must disclose the business entity and the income on Schedule A-2.**
- 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.

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 D
Income – Gifts

Name _____

▶ NAME OF SOURCE *(Not an Acronym)*

ADDRESS *(Business Address Acceptable)*

BUSINESS ACTIVITY, IF ANY, OF SOURCE

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

▶ NAME OF SOURCE *(Not an Acronym)*

ADDRESS *(Business Address Acceptable)*

BUSINESS ACTIVITY, IF ANY, OF SOURCE

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

▶ NAME OF SOURCE *(Not an Acronym)*

ADDRESS *(Business Address Acceptable)*

BUSINESS ACTIVITY, IF ANY, OF SOURCE

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

▶ NAME OF SOURCE *(Not an Acronym)*

ADDRESS *(Business Address Acceptable)*

BUSINESS ACTIVITY, IF ANY, OF SOURCE

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

▶ NAME OF SOURCE *(Not an Acronym)*

ADDRESS *(Business Address Acceptable)*

BUSINESS ACTIVITY, IF ANY, OF SOURCE

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

▶ NAME OF SOURCE *(Not an Acronym)*

ADDRESS *(Business Address Acceptable)*

BUSINESS ACTIVITY, IF ANY, OF SOURCE

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

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.

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. You may indicate an intermediary either in the "source" field after the name or in the "comments" section at the bottom of Schedule D.

Commonly reportable gifts include:

- Tickets/passes to sporting or entertainment events
- Tickets/passes to amusement parks
- Parking passes not used for official agency business
- 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 16)
- 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.)
- Transportation and lodging (See Schedule E.)
- Forgiveness of a loan received by you

Reminders

- Gifts from a single source are subject to a **\$500** limit in **2020**. (See Reference Pamphlet, page 10.)
- Code filers – you only need to report gifts from reportable sources.

Gift Tracking Mobile Application

- FPPC has created a gift tracking app for mobile devices that helps filers track gifts and provides a quick and easy way to upload the information to the Form 700. Visit FPPC's website to download the app.

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 or government agency 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, and certain other family members (See Regulation 18942 for a complete list.). 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 similar value exchanged between you and an individual, other than a lobbyist registered to lobby your state agency, 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 monetary 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
- Up to two tickets, 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 must be received from the organization or committee holding the fundraiser.
- Gifts given to members of your immediate family if the source has an established relationship with the family member and there is no evidence to suggest the donor had a purpose to influence you. (See Regulation 18943.)
- Free admission, food, and nominal items (such as a pen, pencil, mouse pad, note pad or similar item) available to all attendees, at the event at which the official makes a speech (as defined in Regulation 18950(b)(2)), so long as the admission is provided by the person who organizes the event.
- Any other payment not identified above, that would otherwise meet the definition of gift, where the payment is made by an individual who is not a lobbyist registered to lobby the official's state agency, where it is clear that the gift was made because of an existing personal or business relationship unrelated to the official's position and there is no evidence whatsoever at the time the gift is made to suggest the donor had a purpose to influence you.

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.

SCHEDULE E
Income – Gifts
Travel Payments, Advances,
and Reimbursements

Name _____

- Mark either the gift or income box.
- Mark the “501(c)(3)” box for a travel payment received from a nonprofit 501(c)(3) organization or the “Speech” box if you made a speech or participated in a panel. Per Government Code Section 89506, these payments may not be subject to the gift limit. However, they may result in a disqualifying conflict of interest.
- For gifts of travel, provide the travel destination.

▶ NAME OF SOURCE *(Not an Acronym)* _____

ADDRESS *(Business Address Acceptable)* _____

CITY AND STATE _____

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

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

▶ MUST CHECK ONE: Gift **-or-** Income

 Made a Speech/Participated in a Panel _____

 Other - Provide Description _____

▶ If Gift, Provide Travel Destination _____

▶ NAME OF SOURCE *(Not an Acronym)* _____

ADDRESS *(Business Address Acceptable)* _____

CITY AND STATE _____

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

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

▶ MUST CHECK ONE: Gift **-or-** Income

 Made a Speech/Participated in a Panel _____

 Other - Provide Description _____

▶ If Gift, Provide Travel Destination _____

▶ NAME OF SOURCE *(Not an Acronym)* _____

ADDRESS *(Business Address Acceptable)* _____

CITY AND STATE _____

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

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

▶ MUST CHECK ONE: Gift **-or-** Income

 Made a Speech/Participated in a Panel _____

 Other - Provide Description _____

▶ If Gift, Provide Travel Destination _____

▶ NAME OF SOURCE *(Not an Acronym)* _____

ADDRESS *(Business Address Acceptable)* _____

CITY AND STATE _____

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

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

▶ MUST CHECK ONE: Gift **-or-** Income

 Made a Speech/Participated in a Panel _____

 Other - Provide Description _____

▶ If Gift, Provide Travel Destination _____

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" to read about travel payments under section 89506(a).)

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, such as reimbursement for travel on agency business from your government agency employer.
- A payment for travel from another local, state, or federal government agency and related per diem expenses when the travel is for education, training or other inter-agency programs or purposes.
- Travel payments received from your employer in the normal course of your employment that are included in the income reported on Schedule C.
- A travel payment that was received from a nonprofit entity exempt from taxation under Internal Revenue Code Section 501(c)(3) for which you provided equal or greater consideration, such as reimbursement for travel on business for a 501(c)(3) organization for which you are a board member.

Note: Certain travel payments may not be reportable if reported via email on Form 801 by your agency.

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 \$500 or more from a single source during the period covered by the statement.

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

- **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 MaryClaire Chandler is the chair of a 501(c)(6) trade association, and the association pays for her travel to attend its meetings. Because MaryClaire is deemed to be 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 MaryClaire to attend other events for which she is not providing services are likely considered gifts. Note that the same payment from a 501(c)(3) would NOT be reportable.

<small>▶ NAME OF SOURCE (Not an Acronym)</small>	
Health Services Trade Association	
<small>ADDRESS (Business Address Acceptable)</small>	
1230 K Street, Suite 610	
<small>CITY AND STATE</small>	
Sacramento, CA	
<small>☐ 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE</small>	
Association of Healthcare Workers	
<small>DATE(S):</small> ___/___/___ <small>(if gift)</small> <small>AMT: \$</small> 550.00	
<small>▶ MUST CHECK ONE:</small> <input type="checkbox"/> Gift <small>-or-</small> <input checked="" type="checkbox"/> Income	
<input type="radio"/> Made a Speech/Participated in a Panel	
<input checked="" type="radio"/> Other - Provide Description <u>Travel reimbursement for board meeting.</u>	
<small>▶ If Gift, Provide Travel Destination</small> _____	

Example:

Mayor Kim travels to China on a trip organized by China Silicon Valley Business Development, a California nonprofit, 501(c)(6) organization. The Chengdu Municipal People's Government pays for Mayor Kim's airfare and travel costs, as well as his meals and lodging during the trip. The trip's agenda shows that the trip's purpose is to promote job creation and economic activity in China and in Silicon Valley, so the trip is reasonably related to a governmental purpose. Thus, Mayor Kim must report the gift of travel,

<small>▶ NAME OF SOURCE (Not an Acronym)</small>	
Chengdu Municipal People's Government	
<small>ADDRESS (Business Address Acceptable)</small>	
2 Caoshi St. CaoShiJie, Qingyang Qu, Chengdu Shi,	
<small>CITY AND STATE</small>	
Sichuan Sheng, China, 610000	
<small>☐ 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE</small>	
<small>DATE(S):</small> 09 / 04 / XX - 09 / 08 / XX <small>AMT: \$</small> 3,874.38 <small>(if gift)</small>	
<small>▶ MUST CHECK ONE:</small> <input checked="" type="checkbox"/> Gift <small>-or-</small> <input type="checkbox"/> Income	
<input type="radio"/> Made a Speech/Participated in a Panel	
<input checked="" type="radio"/> Other - Provide Description <u>Travel reimbursement for trip to China.</u>	
<small>▶ If Gift, Provide Travel Destination</small> <u>Sichuan Sheng, China</u>	

but the gift is exempt from the gift limit. In this case, the travel payments are not subject to the gift limit because the source is a foreign government and because the travel is reasonably related to a governmental purpose. (Section 89506(a)(2).) Note that Mayor Kim could be disqualified from participating in or making decisions about The Chengdu Municipal People's Government for 12 months. Also note that if China Silicon Valley Business Development (a 501(c)(6) organization) paid for the travel costs rather than the governmental organization, the payments would be subject to the gift limits. (See the FPPC fact sheet, Limitations and Restrictions on Gifts, Honoraria, Travel and Loans, at www.fppc.ca.gov.)

Restrictions and Prohibitions

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. In 2021-2022, the gift limit increased to \$520 from a single source during a calendar year. In 2019 and 2020, the gift limit was \$500 from a single source during a calendar year.

Additionally, 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 10.

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

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. For example, a personal residence is often not reportable, but may be grounds for disqualification. Specific disqualification requirements apply to 87200 filers (e.g., city councilmembers, members of boards of supervisors, planning commissioners, etc.). These officials must publicly identify 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 18707, and the Guide to Recognizing Conflicts of Interest page at www.fppc.ca.gov.

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 14.)

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 or electronically filed 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:

- Email questions to advice@fppc.ca.gov.
- Call the FPPC toll-free at (866) 275-3772.

Form 700 is a Public Document Public Access Must Be Provided

Statements of Economic Interests are public documents. The filing officer must permit any member of the public to inspect and receive a copy of 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. Access to the Form 700 is not subject to the Public Records Act procedures.
- 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.

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. You must also 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 or an attachment 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 a department head who 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 because they are or may be performing the duties of the position.
- Q. My spouse and I are currently separated and in the process of obtaining a divorce. Must I still report my spouse’s income, investments, and interests in real property?
- A. Yes. A public official must continue to report a spouse’s economic interests until such time as dissolution of marriage proceedings is final. However, if a separate property agreement has been reached prior to that time, your estranged spouse’s income may not have to be reported. Contact the FPPC for more information.

- Q. As a designated employee, 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 or physical location in your jurisdiction. (See Reference Pamphlet, page 13.)
- 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 have an IRA that contains stocks through an account managed by a brokerage firm. Must I disclose these stocks even though they are held in an IRA and I did not decide which stocks to purchase?
- A. Yes. 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. The value of my stock changed during the reporting period. How do I report the value of the stock?
- A. You are required to report the highest value that the stock reached during the reporting period. You may use your monthly statements to determine the highest value. You may also use the entity’s website to determine the highest value. You are encouraged to keep a record of where you found the reported value. Note that for an assuming office statement, you must report the value of the stock on the date you assumed office.

Questions and Answers Continued

Q. I am the sole owner of my business, an S-Corporation. I believe that the nature of the business is such that it cannot be said to have any "fair market value" because it has no assets. I operate the corporation under an agreement with a large insurance company. My contract does not have resale value because of its nature as a personal services contract. Must I report the fair market value for my business on Schedule A-2 of the Form 700?

A. Yes. Even if there are no *tangible* assets, intangible assets, such as relationships with companies and clients are commonly sold to qualified professionals. The "fair market value" is often quantified for other purposes, such as marital dissolutions or estate planning. In addition, the IRS presumes that "personal services corporations" have a fair market value. A professional "book of business" and the associated goodwill that generates income are not without a determinable value. The Form 700 does not require a precise fair market value; it is only necessary to check a box indicating the broad range within which the value falls.

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.

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, because a disposed date is not required for stocks that fall below \$2,000, 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.

Q. We have a Section 529 account set up to save money for our son's college education. Is this reportable?

A. If the Section 529 account contains reportable interests (e.g., common stock valued at \$2,000 or more), those interests are reportable (not the actual Section 529 account). If the account contains solely mutual funds, then nothing is reported.

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 located in or 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 for requesting an exemption to allow a client's name not to be disclosed if disclosure of the name would violate a legally recognized privilege under California or Federal law. This regulation may be obtained from our website at www.fppc.ca.gov. (See Reference Pamphlet, page 14.)

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.

Questions and Answers Continued

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 8.)

Q. My husband is a partner in a four-person firm where all of his business is based on his own billings and collections from various clients. How do I report my community property interest in this business and the income generated in this manner?

A. If your husband's investment in the firm is 10% or greater, disclose 100% of his share of the business on Schedule A-2, Part 1 and 50% of his income on Schedule A-2, Parts 2 and 3. For example, a client of your husband's must be a source of at least \$20,000 during the reporting period before the client's name is reported.

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. (See Reference Pamphlet, page 14.)

Q. I received a loan from my grandfather to purchase my home. Is this loan reportable?

A. No. Loans received from family members are not reportable.

Q. Many years ago, I loaned my parents several thousand dollars, which they paid back this year. Do I need to report this loan repayment on my Form 700?

A. No. Payments received on a loan made to a family member are not reportable.

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.

Q. I am a city manager, and I own a rental property located in an adjacent city, but one mile from the city limit. Do I need to report this property interest?

A. Yes. You are required to report this property because it is located within 2 miles of the boundaries of the city you manage.

Q. Must I report a home that I own as a personal residence for my daughter?

A. You are not required to disclose a home used as a personal residence for a family member unless you receive income from it, such as rental income.

Q. I am a co-signer on a loan for a rental property owned by a friend. Since I am listed on the deed of trust, do I need to report my friend's property as an interest in real property on my Form 700?

A. No. Simply being a co-signer on a loan for property does not create a reportable interest in real property for you.

Gift Disclosure

Q. If I received a reportable 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.

Questions and Answers Continued

- Q. Julia and Jared Benson, a married couple, want to give a piece of artwork to 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 the gift limit during a calendar year. For example, during 2020 the gift limit was \$500, so the Bensons may have given the supervisor artwork valued at no more than **\$1,000**. The supervisor must identify Jared and Julia Benson as the sources of the gift.
- Q. I received free admission to an educational conference related to my official duties. Part of the conference fees included a round of golf. Is the value of the golf considered informational material?
- A. No. The value of personal benefits, such as golf, attendance at a concert, or sporting event, are gifts subject to reporting and limits.
- 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.

**2020/2021
Form 700
Statement of
Economic Interests**



**Reference
Pamphlet**

California Fair Political Practices Commission

1102 Q Street, Suite 3000 • Sacramento, CA 95811

Email advice: advice@fppc.ca.gov

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

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

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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
- Members of the High Speed Rail Authority

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. Agencies determine who is a consultant and the level of disclosure and may use Form 805.

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. The Form 804 may be used to satisfy this requirement.

Types of Form 700 Filings

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.

- Report: 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.

For positions subject to confirmation by the State Senate or the Commission on Judicial Appointments, 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.

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.

- Report: 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.

Annual Statement:

Generally, the period covered is January 1, 2020, through December 31, 2020. If the period covered by the statement is different than January 1, 2020, through December 31, 2020, (for example, you assumed office between October 1, 2019, and December 31, 2019 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 2020.

- 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, 2020, through the date you stopped performing the duties of your position. If the period covered differs from January 1, 2020, through the date you stopped performing the duties of your position (for example, you assumed office between October 1, 2019, and December 31, 2019, or you are combining statements), the period covered must be specified. The reporting period can cover parts of two calendar years.

- Report: Investments, interests in real property, business positions held, and income (including loans, gifts, and travel payments) received during the period covered by the statement. 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 2020.

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, or water district board members) must file candidate statements, as required by the conflict of interest code for the elected position. The code may be obtained from the agency of 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. Obtain amendment schedules from the FPPC website at www.fppc.ca.gov.

Where to File

1. Officials Specified in Gov. Code Section 87200 (See Reference Pamphlet, page 3):

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

Note: Individuals that invest public funds for a city or county agency must file Form 700 with the agency. Unlike most other 87200 filers, the original statement will **not** be forwarded to the FPPC pursuant to Regulation 18753.

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

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. Agencies may use FPPC Form 804 for this disclosure. Such individuals are referred to as "code filers." See Regulation 18734.

When to File

Assuming Office 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 as 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 late fine of \$10 per day per position 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 **Monday, March 1, 2021.**
2. County and city officials specified in Gov. Code Section 87200:
File no later than **Wednesday, April 1, 2021.**
3. Multi-County officials:
File no later than **Wednesday, April 1, 2021.**
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, 2020, and December 31, 2020, and filed an assuming office statement, you are not required to file an annual statement until March 1, 2022, or April 1, 2022, whichever is applicable. The annual statement will cover the day after you assumed office through December 31, 2021.

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

When to File - (continued)

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.
- 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 as 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 an assuming office or annual statement for the same jurisdiction **within 60 days** before filing a declaration of candidacy or other nomination documents.

Late Statements:

Late statements should be submitted as soon as possible after the filing deadline, in the same manner and place as a timely filed statement.

The filing officer who retains originally-signed or electronically filed 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 from the filing officer, a fine of up to \$5,000 per violation may be imposed.

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 16.

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.

An individual hired on or after January 1, 2020 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. Agencies may use FPPC Form 804 for such disclosure. 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 Jameson and Mulligan 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 Jameson and Mulligan 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. (See Reference Pamphlet, page 12.)

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.

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. The agency determines who is a consultant. Consultants may be required to file Form 700. Such consultants would file under full disclosure unless the agency provides in writing a limited disclosure requirement. Agencies may use FPPC Form 805 to assign such disclosure. 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 18700.3 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.

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.

Terms & Definitions - (continued)

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.* In addition, Regulation 18237 provides an exception from reporting other funds that are similar to diversified mutual funds. (See Reference Pamphlet, page 13.)

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 or email 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 were prohibited from accepting a gift or gifts totaling more than \$500 in a calendar year from a single source in 2019-2020. The gift limit is \$520 in 2021 and 2022.

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.

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:

Terms & Definitions - (continued)

- 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 gift limit and the honorarium prohibitions 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 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 3.)
- 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.

Separate Property Agreement: Generally, a public official is required to disclose his or her community property share of his or her spouse’s income. But, when a public official and his or her spouse have a legally separate property agreement (e.g., prenuptial agreement), the official is not required to report the spouse’s community property share of income, unless the funds are commingled with community funds or used to pay for community expenses or to produce or enhance the separate income of the official.

Note: This reporting exception does not apply to investments and interests in real property. Even if a public official and his or her spouse have a separate property agreement, the spouse’s investments and interests in real property must still be disclosed because the definitions of reportable investments and interests in real property include those held by the official’s immediate family (spouse, registered domestic partner, and dependent children). These definitions are not dependent on community property law.

Income to a Business Entity: 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.
- Pat and Mark Johnson, a married couple, own Classic Autos. Income to this business was \$200,000. In

Terms & Definitions - (continued)

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. (See Reference Pamphlet, page 13, for an example of how to calculate the value of this investment and interest in real property.)

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
- A travel payment that was received from a nonprofit entity exempt from taxation under Internal Revenue Code Section 501(c)(3) for which you provided equal or greater consideration, such as reimbursement for travel on business for a 501(c)(3) organization for which you are a board member.
- 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 unless the purchaser can be identified.
- Redemption of a mutual fund
- Payments received under an insurance policy, including an annuity
- 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 so long as the funds are not commingled with community funds or used to pay community expenses
- 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 8.*)
- 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

Terms & Definitions - (continued)

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 18700.1 and 18728.5 for more information.)

Investment Funds: The term “investment” no longer includes certain exchange traded funds, closed-end funds, or funds held in an Internal Revenue Code qualified plan. These non-reportable investment funds (1) must be bona fide investment funds that pool money from more than 100 investors, (2) must hold securities of more than 15 issuers, and (3) cannot have a stated policy of concentrating their holdings in the same industry or business (“sector funds”). In addition, the filer may not influence or control the decision to purchase or sell the specific fund on behalf of his or her agency during the reporting period or influence or control the selection of any specific investment purchased or sold by the fund. (Regulation 18237)

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:

- Julia Pearson, husband, and two dependent children each own \$600 in stock in General Motors. Because the total value of their holdings is \$2,400, Julia must disclose the stock as an investment on Schedule A-1.
- Pat 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 Pat’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 11, 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 Pat’s 50% interest to determine the amount to report in Part 4 of Schedule A-2.

- Katie Lee 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 disclosable investments and sources of income (including loans, gifts, and travel payments) that are either 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 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 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:

Terms & Definitions - (continued)

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 also 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.

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 or assuming office 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: FPPC Regulation 18740 sets out specific procedures that must be followed in order to withhold the name of a source of income. Under this regulation, 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 or Federal law. However, you must provide an explanation for nondisclosure, separately stating for each undisclosed person: the legal basis for the assertion of the privilege, facts demonstrating why the privilege is applicable, and that to the best of your knowledge you have not and will not make, participate in making, or use your official position to influence a governmental decision affecting the undisclosed person in violation of Government Code Section 87100. This explanation may be included with, or attached to, the public official’s Form 700.

We note that the name of a source of income is privileged only to a limited extent under California law. For example, a name is protected by attorney-client privilege only when facts concerning an attorney’s representation of an anonymous client are not publicly known and those facts,

when coupled with disclosure of the client’s identity, might expose the client to an official investigation or to

Terms & Definitions - (continued)

civil or criminal liability. A patient's name is protected by physician-patient privilege only when disclosure of the patient's name would also reveal the nature of the treatment received by the patient. A patient's name is also protected if the disclosure of the patient's name would constitute a violation by an entity covered under the Federal Health Insurance Portability and Accountability Act (also known as HIPAA).

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 18700.3 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:

- Anaya Tiwari 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), Anaya has no disclosure requirements with regard to the deferred compensation program.
- Earl James Jones 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. Earl 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.

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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.

Or you are a beneficiary and:

- Presently receive income (see Gov. Code Section 82030); 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.
- Chao Yee is listed as a beneficiary in his grandparents' trust. However, Chao does not presently receive income from the trust, nor does he have an irrevocable future right to receive income or principal. Therefore, Chao 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.

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 \$500 gift limit (\$520 in 2021-2022), 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 18110-18997). 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:

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(866) 275-3772

SOUTHERN CALIFORNIA LIBRARY COOPERATIVE

CONFLICT-OF-INTEREST CODE

The Political Reform Act (Government Code Section 81000, et seq.) requires state and local government agencies to adopt and promulgate conflict-of-interest codes. The Fair Political Practices Commission has adopted a regulation (2 California Code of Regulations Section 18730) that contains the terms of a standard conflict-of-interest code, which can be incorporated by reference in an agency's code. After public notice and hearing, the standard code may be amended by the Fair Political Practices Commission to conform to amendments in the Political Reform Act. Therefore, the terms of 2 California Code of Regulations Section 18730 and any amendments to it duly adopted by the Fair Political Practices Commission are hereby incorporated by reference. This regulation and the attached Appendices, designating positions and establishing disclosure requirements, shall constitute the conflict-of-interest code of the Southern California Library Cooperative (SCLC).

Individuals holding designated positions shall file their statements of economic interests with the SCLC, which will make the statements available for public inspection and reproduction. (Gov. Code Sec. 81008.) All statements will be retained by the SCLC.

APPENDIX A
DESIGNATED POSITIONS

Designated Position (If other than Council Members)	Assigned Disclosure Category
Auditor	1
Legal Counsel	1
Consultant/New Position	

*Consultants/New Positions shall be included in the list of designated positions and shall disclose pursuant to the broadest disclosure category in the code, subject to the following limitations:

The Executive Director may determine in writing that a particular consultant or new position, 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 described in this section. Such written determination shall include a description of the consultant's or new position's duties and, based upon that description, a statement of the extent of disclosure requirements. The Executive Director'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. (Gov. Code Sec. 81008.)

OFFICIALS WHO MANAGE PUBLIC INVESTMENTS

The following positions are NOT covered by the conflict-of-interest code because they must file a statement of economic interests pursuant to Government Code Section 87200 and, therefore, are listed for informational purposes only:

Administrative Council Members
Executive Director
Business Manager

An individual holding one of the above listed positions may contact the Fair Political Practices Commission for assistance or written advice regarding their filing obligations if they believe that their position has been categorized incorrectly. The Fair Political Practices Commission makes the final determination whether a position is covered by Government Code Section 87200.

APPENDIX B DISCLOSURE REQUIREMENTS

Category 1:

Investments and business positions in business entities, and sources of income, including receipt of gifts, loans, and travel payments, from:

- o Entities that provide services, supplies, materials, machinery, or equipment of the type utilized by the SCLC or its member libraries.
- o Entities that are engaged in the business of insurance, including, but not limited to, insurance companies, carriers, holding companies, underwriters, brokers, solicitors, agents, adjusters, claims managers, and actuaries.
- o Entities or persons who have filed a claim, or have a claim pending, against the SCLC.

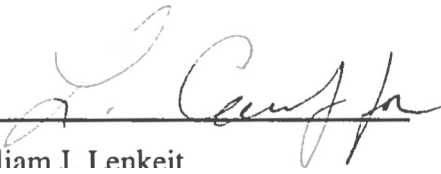
This is the last page of the conflict-of-interest code of the Southern California Library Cooperative.



CERTIFICATION OF FPPC APPROVAL

12/23/

1/22/ 2013.



William J. Tenkeit

Fair Political Practices Commission

Pursuant to FPPC Regulation 18752.

**California State Library, Library Development Services
Cooperative System Report, Updated November 23, 2021**

***California Library Literacy Services**

The application for Round 1 of the new \$15 million in ESL services through CLLS programs is now open and closes December 24, 2021 at 5 p.m. These funds are only available to current CLLS libraries. A November 19 webinar introduced the application process. Please note there will be three opportunities for new applications. Round 2 will open in spring of 2022 and Round 3 in spring of 2023. Please contact Bev Schwartzberg at beverly.schwartzberg@library.ca.gov for the webinar slides and recording.

Networking Conversations

Networking conversations for California libraries continue, and we encourage you to register to attend. Directors' calls occur once a month in 2021 and invitation to participate is sent out on the directors listserv as dates are scheduled. The upcoming Directors' Networking conversation is on **December 15th, 2021 3:30pm**. Invitations are also sent to the directors listserv from Chris Durr: chris.durr@library.ca.gov Please register in advance for this meeting and suggest topics for the conversation using this link: <https://us06web.zoom.us/meeting/register/tZEscOqpqTMqGdcmmUP7NIXRMAGLjoFRgfim> For interest in other Networking conversations, please contact lena.pham@library.ca.gov

***Digital Learning Platforms for All California Public Libraries.**

We are hoping the learning platforms Coursera, GetSetUp, LearningExpress Library (plus Job and Career Accelerator), LinkedIn Learning, Northstar, and/or Skillshare are being set up on your websites. The vendors have contacted the identified library staff with information needed for set up. Each platform has a different access model. The link to information sessions, marketing materials, and FAQs is <https://my.nicheacademy.com/callacademy/course/39032>. If you have not heard from one of the vendors, or have changed your mind about adding one of the platforms, please email jody.thomas@library.ca.gov AND jen.lemberger@library.ca.gov.

NOTE: If you did not register interest in accessing LinkedIn due to connection issues with SIP2 or Patron API, please contact Jody and Jen (emails above). We are working on a solution.

***Building Forward Infrastructure Funding for California Libraries**

The Building Forward infrastructure grant program was made possible by the California Budget Act for the 2021-2022 fiscal year, which contains \$439 million in one-time funds to create an equity-focused matching infrastructure grant program to support local library maintenance, capital projects, broadband and technology upgrades, and purchasing of devices.

As stated in SB 129, Section 215 the California State Library:

1. Shall prioritize project requests submitted by local libraries in high-poverty areas of the state. No grant amount shall exceed \$10,000,000.
2. Shall prioritize grants for life-safety and other critical maintenance and infrastructure projects.
3. May support more significant modernization and construction capital projects, other infrastructure projects, and device purchases only if funding remains after supporting life-safety and other critical projects.

A link to a recorded information session is available at:

<https://www.library.ca.gov/grants/infrastructure/>

The preliminary application period, which was an optional step in applying, closed October 27, 2021.

Next steps will be announced shortly. If you have questions, please email

BuildingForward@library.ca.gov.

California Libraries Learn (CALL)

California Libraries Learn is busier than ever. Start planning your team's professional development by visiting www.callacademy.org and check the frequently updated [calendar](#) to explore the options. Free courses, weekly webinars, and

cohort-based training for directors and senior management on **Incorporating Equity into Public Library Services and Systems** (look for an announcement in early December);

CALL for Learning, cohort-based training on how to build an effective learning culture in your library (registration now open);

training on inclusive library services focused on those with disabilities; and

cohort-based community engagement training.

CALL has its own newsletter, *CALL Letters*, and users can subscribe directly for up-to-date information on staff professional development needs. Please [subscribe today](#). Encourage your staff members to [create a login](#) to access the many online, self-paced learning opportunities available through [CALL Academy](#).

This year, CALL's special focus areas are, as requested by CA library staff: mental health and workplace wellbeing; customer service; equity, diversity, inclusion, and belonging; and community engagement.

Funding opportunities through the California State Library

Please visit the [grants page](#) of the California State Library website for a listing and timetable of new and upcoming funding opportunities. Community Connections and Library-Workforce Partnership Initiative funding opportunities closed at the end of September and awards will be made by mid-October.

California Revealed

California Revealed previews an upcoming funding opportunities for work with historical records, images, and outreach. For more information, visit www.californiarevealed.org and

<https://californiarevealed.org/content/news>.

[Cataloging California: Description Assistance](#)

Application due: Friday, December 3, 2021 <https://californiarevealed.org/describe>

[Our Collections, Our Communities: Outreach Assistance](#)

Application due: Friday, December 3, 2021 <https://californiarevealed.org/community-outreach>



**SCLC Meeting Dates
2021/22**

Approved June 3, 2021

Wednesday, August 25, 2021

1:00pm Executive Committee
2:15pm Administrative Council
Location TBD

Wednesday, October 27, 2021

1:00pm Executive Committee, only
Via Zoom

~~**Wednesday, November 24, 2021**~~

Wednesday, December 1, 2021

New date approved August 25, 2021

1:00pm Executive Committee
2:15pm Administrative Council
Glendale

Wednesday, January 26, 2022

1:00pm Executive Committee, only
Via Zoom

Wednesday, March 15, 2022 - rescheduled

1:00pm Executive Committee
2:15pm Administrative Council
Location TBD

Wednesday, May 25, 2022

1:00pm Executive Committee
2:15pm Administrative Council
Location TBD