

Office of the General Counsel

MEMORANDUM

TO:

Chancellors

Vice President for Agriculture Director, Criminal Justice Institute

Director, Arkansas Archeological Survey

Director, Arkansas School for Mathematics, Sciences and the Arts

Dean, Clinton School of Public Service

FROM:

CC:

JoAnn C. Maxey, General Counsel

to ann Maxey Barbara Goswick, Vice President for Finance

Rita Fleming, Associate Vice President for Finance

DATE:

January 6, 2017

RE:

Employee Ethics Acts Reporting Requirements

In addition to the Statement of Financial Interest required to be filed by certain University administrators, which I am addressing in a separate memorandum, set forth below is a summary of reports required to be filed by University employees under various State ethics acts concerning extra income from State agencies and interests in businesses in which the employee has a financial interest. These filings are the ultimate responsibility of the University employees, and, because some of the statutes have criminal penalties, employees should consult with their own legal counsel to determine the extent they are required to file a report.

(1) Extra Income Statements

A.C.A 21-8-201 – 21-8-204 and University of Arkansas Systemwide Policies and Procedures 440.10 require extra income statements to be filed, under oath, on or before January 31 with the President of the University. This statement must be completed by all salaried employees of the University on full-time regular nine-month or twelve-month appointments who, in addition to their regular salary from the University, received in calendar 2016 more than \$500 either (1) in wages or salary from any public agency, or (2) as fees or payment for professional or consultant services rendered to any public agency, including not only other state entities but also city, county or school districts that are funded by state appropriations. In other words, the statute applies to employees who are regularly employed at one campus or unit who received a salary or payment from another campus or unit of the University, e.g. adjunct teaching

2404 North University Avenue / Little Rock, Arkansas 72207-3608 / 501-686-2520 / Fax 501-686-2517

University of Arkansas, Fayetteville / University of Arkansas at Little Rock / University of Arkansas at Pine Bluff University of Arkansas for Medical Sciences / University of Arkansas at Monticello / Division of Agriculture / Criminal Justice Institute Arkansas Archeological Survey / Phillips Community College of the University of Arkansas / University of Arkansas Community College at Hope University of Arkansas Community College at Batesville / Cossatot Community College of the University of Arkansas University of Arkansas Community College at Morrilton / University of Arkansas at Fort Smith Arkansas School for Mathematics, Sciences, and the Arts / University of Arkansas Clinton School of Public Service

under concurrent employment, as well as to employees who received wages, salary or fees from another agency of the State, such as the Department of Human Services, or a governmental entity (city, county, school district) receiving money from the state under a concurrent employment or a consultant services contract. The attached form can be used to file the statement.

(2) <u>Disclosure of Benefit from State Contract</u>

A.C.A. 19-11-706 requires any employee who has or obtains any benefit from any State contract with a "business in which the employee has a financial interest" to report the benefit to the Director of the Department of Finance & Administration (DF&A). This is a continuing obligation to disclose and is not restricted to annual reports each January. A copy of the DF&A form and instructions (attached for your convenience) can be obtained from: http://www.dfa.arkansas.gov/offices/personnelManagement/Documents/disclosureEmploymentoffamilyMembers.pdf. The requirement that the employee reports any benefit from any State contract "with a business in which the employee has a financial interest" has not been defined by statute. The instructions prepared by the Department of Finance & Administration provide guidance, but it is recommended that employees consult with private legal counsel if they have any question as to whether they are required to file a report since a violation of the statute is a felony.

(3) Disclosure for Contracts Involving Patents, Copyrights or other Proprietary Information

A.C.A. 19-11-717 requires that no later than January 31 each year an employee or former employee "contracting or receiving benefits under this section shall file with the Secretary of State on a form provided by the Secretary of State a disclosure of the type and amount of the contract or benefits received during the previous year." (Emphasis added) No such forms are published on the Secretary of State's website, and this office is unaware of any such forms developed and offered by the Secretary of State. In the absence of such forms, it has been the recommendation of this office that employees use the DF&A form provided for the report required under A.C.A. 19-11-706, referenced above, and file it with the Secretary of State's Office, noting that it intended to satisfy the requirement under A.C.A.19-11-717. Since the extent of disclosure required under A.C.A. 19-11-717 is also unclear, it has also been the recommendation of this office to use the ranges of income (in excess of \$1,000 or in excess of \$12,500) required under the Disclosure Act for Lobbyists and State and Local Officials (A.C.A. 21-8-701).

Annual Report of Extra Income in Excess of \$500

Campus Where Employed:		
Filing for Ye	ar:	
1. Name of Employee:	ID#	An-11-11-11-11-11-11-11-11-11-11-11-11-11
2. Source and Amount of Income in Excess of \$500:		
(a)(Name of Public Agency)		(Amount In Excess of \$500)
(b)(Name of Public Agency)		(Amount In Excess of \$500)
(c)(Name of Public Agency)		\$(Amount in Excess of \$500)
(d)(Name of Public Agency)		\$(Amount In Excess of \$500)
NOTE: Extra income statements must be filed by institutions of higher learning must file with the		
-VERIFIC	CATION	J-
I do solemnly swear that the foregoing Annual Report herewith is in all things true and correct, and fully sho reported by me.		
State of Arkansas		Employee Signature
County of Subscribed and sworn to before me, a Notary Public,	this the	a day of
		Notary Public
My Commission Expires:		

Department of Finance and Administration

EMPLOYEE DISCLOSURE/CERTIFICATION AND EMPLOYMENT OF FAMILY MEMBERS FORM

This form is to be completed by all interviewed applicants for a position.

Definitions for the symbols in questions 1 - 9 below. Please read before continuing.

- A State Employee any employee of any state agency employed in a regular salary position or extra-help position not to include contract labor.
- B Former is defined as within the last 24 months.
- C Constitutional Officer: Governor, Lt. Governor, Secretary of State, Attorney General, Auditor, Treasurer, Land Commissioner, General Assembly member.
- D General Assembly member: member of the Arkansas Senate or the Arkansas House of Representatives.
- E Relative Includes: husband, wife, mother, father, stepmother, stepfather, mother-in-law, father-in-law, sister, brother, stepsister, stepbrother, half-sister, half-brother, sister-in-law, brother-in-law, daughter, son, stepdaughter, stepson, daughter-in-law, son-in-law, aunt, uncle, first cousin, niece or nephew.
- F Public Official: constitutional officers; members of the Arkansas General Assembly; the executive head of any agency, department, board, commission, Institution, bureau, or council of the state.
- G Agency or State Agency: every agency, board, commission, department, division, institution, and other office of state government located within the executive branch of government and under the control of the Governor.

///as	the executive branch o	of government and under the control of the Governor.
1.	☐ Yes ☐ No	Are you a current state employee ^A ?
2.	☐ Yes ☐ No	Are you a former ^B state employee ^A ?
3. 3a. 3b.	☐ Yes ☐ No ☐ Yes ☐ No ▶ If "Yes," give	Are you a current Constitutional Officer ^C ? If "Yes", were you employed prior to your election into office? date elected
4. 4a.	☐ Yes ☐ No ► If "Yes," give	Are you the spouse of a current Constitutional Officer^C? spouse's name
4b.	☐ Yes ☐ No	position/office If "Yes", is your expected salary above \$37,649 annually or above \$18.10 per hour?
5. 5.a	☐ Yes ☐ No ► If "Yes," give	Are you the spouse of a former ^B Constitutional Officer ^C ? spouse's name position/office
6. 6a.	☐ Yes ☐ No ▶ If "Yes," give	Are you or your spouse a former ^B General Assembly member ^D ? spouse's name
6b.	☐ Yes ☐ No	position/office If "Yes", within the 24 months prior to your leaving office or your spouse leaving office, was the position for which you are being considered created by legislative action, or if the maximum salary level increased by more than 15%, was this authorized by legislative action?
7. 7a.	☐ Yes ☐ No ▶ If "Yes," give	Are you a relative ^E of the Public Official ^F in charge of the agency ^G In which you are applying? relative's ^E name position/office relationship
8.	☐ Yes ☐ No	Are you a relative ^E of a state employee ^A , state board or commission member or are you a relative ^E (other than the spouse) of a Constitutional Officer ^C or an Arkansas General Assembly member ^D ?
8a.	► If "Yes," give	relative's E name position/office relationship
9.	☐ Yes ☐ No	If you checked "Yes" in #8 above, does this relative work within the state agency in which you are applying?
9a.	☐ Yes ☐ No	If "Yes", is the position for which you are applying in the direct line of supervision of your relative or will the position be a supervisory employee of the relative .
ACA relati	§25-16-1001-1007. I ve specifically under A	for employment with the State of Arkansas, I must comply with Governor's Executive Order 98-04, ACA §21-1-401-408, and also understand that as an employee of the State of Arkansas I am restricted from supervising or being supervised by a CA §25-16-1002. If I am hired and it can be proven I falsely disclosed or falled to disclose information I could be subject to strative remedies. I assert that I have answered the above questions to the best of my knowledge.
Appl	licant Name (Please	Print) Applicant Signature Date
п 4/	n 4	

Department of Finance and Administration

EMPLOYEE DISCLOSURE/CERTIFICATION AND EMPLOYMENT OF FAMILY MEMBERS FORM

INSTRUCTIONS FOR HIRING OFFICIAL:

Please check each table below with the disclosure statement and proceed accordingly for the position finalist(s) prior to a job offer.

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Question 8					
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☐ Disapproved	Signature of Agency/Institut	ion Human Res	ource Manager	Agency Number	Date

F-3/F-4 Rev. 02/03/15

Department of Finance and Administration

Employee Disclosure Requirements/Restrictions Notice

Employee Disclosure Requirements Notice

Employees must report any benefit obtained from a state contract by a business in which the employee has a financial interest. Ark. Code Ann. § 19-11-708. The employee must report this benefit to the Director of the Department of Finance and Administration.

A state employee has a "financial interest" in a business if he/she:

- has received within the past year, or is presently or in the future entitled to receive, more than one thousand dollars (\$1000) per year, as a result of ownership of any part of the business or any involvement in the business; or
- owns more than a five percent (5%) interest in the business; or
- holds a position in the business such as an officer, director, trustee, partner, employee, or the like, or holds any position of management.

Any employee who knows or should have known of such benefit and fails to report the benefit to the director is in breach of the ethical standards of Ark. Code Ann. § 19-11-706.

Employee Disclosure Restriction Notice

State employees are restricted from employment under certain conditions, both during the time they are employed by the state and after they leave state employment. Ark. Code Ann. § 19-11-709. These restrictions include:

- employment of a current state employee involved in procurement by any party contracting with the state;
- former employees from representing anyone other than the state under certain conditions in matters which the employee participated personally and substantially or which were within the former employee's official responsibility;
- partners of a current or former state employee from representing anyone other than the state under certain conditions;
- selling to the state after termination of employment under certain conditions.

Any current or former state employee who violates any of these employment restrictions is in breach of the ethical standards of Ark. Code Ann. § 19-11-709.

Penalties for Non-Compliance with Ark. Code Ann. § 19-11-706 or § 19-11-709

In addition to civil and administrative remedies, Ark. Code Ann. § 19-11-712 allows the Director of the Department of Finance and Administration to impose against any employee who fails to comply with Ark. Code Ann. § 19-11-706 or § 19-11-709, after notice and an opportunity for a hearing, any one or more of the following:

- oral or written warnings or reprimands;
- forfeiture of pay without suspension;
- · suspension with or without pay for specified periods of time, and
- · termination of employment.

Pursuant to Arkansas Code Annotated § 19-11-702, any employee who shall knowlingly violate either of these restrictions shall be guilty of a felony and upon conviction shall be fined in any sum not to exceed ten thousand dollars (\$10,000) or shall be imprisoned not less than one (1) nor more than five (5) years, or shall be purished by both.

I certify that I have read this Notice and the Ark. Code Ann. §§ 19-11-706, 19-11-702, 19-11-709 and 19-11-712 on the reverse side. The Rule promulgated to enforce Executive Order 98-04 contain additional information regarding this reporting requirement at Section 13 & 14, posted by the agency in a conspicuous place. I understand that it is my responsibility to comply with the requirement to report as explained in Ark. Code Ann §§ 19-11-706 & 19-11-709, this Notice and the rule.

Agency Name	Hiring Official
Name of Applicant/Employee (Please Print)	in the second se
Applicant/Employee Signature	Date

See back for Arkansas Code Annotated §§ 19-11-702, 19-11-706, 19-11-709 and 19-11-712

F-5/F-6 Rev. 02/03/15

EXCERPTS FROM ARKANSAS CODE ANNOTATED §19-11 SUBCHAPTER 7

19-11-702. Penalties.

Any employee or nonemployee who shall knowingly violate any of the provisions of this subchapter shall be guilty of a felony and upon conviction shall be fined in any sum not to exceed ten thousand dollars (\$10,000) or shall be imprisoned not less than one (1) nor more than five (5) years, or shall be punished by both.

19-11-706, Employee disclosure requirements,

- (a) Disclosure of Benefit Received from Contract. Any employee who has or obtains any benefit from any state contract with a business in which the employee has a financial interest shall report such benefit to the Director of the Department of Finance and Administration. However, this section shall not apply to a contract with a business where the employee's interest in the business has been placed in a disclosed blind trust.
- (b) Failure to Disclose Benefit Received. Any employee who knows or should have known of such benefit and fells to report the benefit to the director is in breach of the ethical standards of this section.

19-11-709, Restrictions on employment of present and former employees.

- (a) Contemporaneous Employment Prohibited. It shall be a breach of ethical standards for any employee who is involved in procurement to become or be, while such an employee, the employee of any party contracting with the state agency by which the employee is employed.
- (b) Restrictions on Former Employees in Matters Connected with Their Former Duties.
 - (1) Permanent Disqualification of Former Employee Personally Involved In a Particular Matter. It shall be a breach of ethical standards for any former employee knowingly to act as a principal or as an agent for anyone other than the state in connection with any:
 - (A) Judicial or other proceeding, application, request for a ruling, or other determination;
 - (B) Contract;
 - (C) Claim; or
 - (D) Charge or controversy in which the employee participated personally and substantially through decision, approval, disapproval, recommendation, rendering of advice, investigation, or otherwise while an employee, where the state is a party or has a direct and substantial interest.
 - (2) One-Year Representation Restriction Regarding Matters for Which a Former Employee Was Officially Responsible. It shall be a breach of ethical standards for any former employee, within one (1), year after cessation of the former employee's official responsibility in connection with any:
 - (A) Judicial or other proceeding, application, request for a ruling, or other determination;
 - (B) Contract;
 - (C) Claim; or
 - (D) Charge or controversy knowingly to act as a principal or as an agent for anyone other than the state in matters which were within the former employee's official responsibility, where the state is a party or has a direct or substantial interest.
- (c) Disqualification of Partners.
 - (1) When Partner is a State Employee. It shall be a breach of ethical standards for a person who is a partner of an employee

knowingly to act as a principal or as an agent for anyone other than the state in connection with any:

- (A) Judicial or other proceeding, application, request for a ruling, or other determination;
- (B) Contract;
- C) Claim; or
 - Charge or controversy In which the employee either participates personally and substantially through decision, approval, disapproval, recommendation, the rendering of advice, investigation, or otherwise, or which is the subject of the employee's official respons billty, where the state is a party or has a direct and substantial interest.
- (2) When a Partner is a Former State Employee. It shall be a breach of ethical standards for a partner of a former employee knowingly to act as a principal or as an agent for anyone other than the state where such former employee is barred under subsection (b) of this section.
- (d) (1) Selling to State After Termination of Employment is Prohibited. It shall be a breach of ethical standards for any former employee, unless the former employee's last annual salary did not exceed ten thousand five hundred dollars (\$10,500), to engage in selling or attempting to sell commodities or services to the state for one (1) year following the date employment ceased.
 - (2) The term "sell", as used in this subsection, means signing a bid, proposal, or contract; negotiating a contract; contacting any employee for the purpose of obtaining, negotiating, or discussing changes in specifications, price, cost allowances, or other terms of a contract; settling disputes concerning performance of a contract; or any other liaison activity with a view toward the ultimate consummation of a sale although the actual contract therefore is subsequently negotiated by another person.
- (e) (1) This section is not intended to preclude a former employee from accepting employment with private industry solely because his employer is a contractor with this state.
 - (2) This section is not intended to preclude an employee, a former employee, or a partner of an employee or former employee from filing an action as a taxpayer for alleged violations of this subchapter.

19-11-712. Civil and administrative remedies against employees who breach ethical standards.

- (a) Existing Remedies Not Impaired. Civil and administrative remedles against employees which are in existence on July 1, 1979, shall not be impaired.
- (b) Supplemental Remedies. In addition to existing remedies for breach of the ethical standards of this subchapter, or regulations promulgated thereunder, the Director of the Department of Finance and Administration may impose any one (1) or more of the following:
 - (1) Oral or written warnings or reprimands;
 - (2) Forfelture of pay without suspension;
 - (3) Suspension with or without pay for specified periods of time; &
 - (4) Termination of employment.
- (c) Right to Recover from Employee Value Received in Breach of Ethical Standards. The value of anything received by an employee in breach of the ethical standards of this subchapter, or regulations promulgated thereunder, shall be recoverable by the state as provided in § 19-11-714, which refers to recovery of value transferred of received in breach of ethical standards.
- (d) Due Process. Notice and an opportunity for a hearing shall be provided prior to Imposition of any of the remedies set forth in subsection (b) of this section.

Department of Finance and Administration

Employee Disclosure Requirements

In Compliance with Governor's Executive Order <u>98-04</u>
Arkansas Code Annotated § 19-11-706

Pursuant to Arkansas Code Annotated § 19-11-706, employees are required to disclose any benefit received from any state contract. Specifically:

- (a) Any employee who has or obtains any benefit from any state contract with a business in which the employee has a financial interest shall report such benefit to the Director of the Department of Finance and Administration. However, this section shall not apply to a contract with a business where the employee's interest in the business has been placed in a disclosed blind trust.
- (b) Any employee who knows or should have known of such benefit and fails to report the benefit to the director is in breach of the ethical standards of this section.

This employee disclosure shall be made within 30 days after the employee has actual or constructive notice of a benefit received or to be received. Such disclosure shall be made by completing this **Employee Disclosure Requirements** form and forwarding this completed form to:

Director
Department of Finance and Administration
P. O. Box 3278
Little Rock, AR 72203-3278

Applicant/Employee Name:	
Agency Name/Division where employed:	
Name of Person/Business involved with State Contract:	
Name of Government Body with which the Business has a Contract:	
Dollar Amount and Nature of Contract:	9
Nature and extent of the benefit received or to be received:	
Applicant/Employee Signature	Date

F-7 Rev. 02/03/15

THE FOLLOWING IS A PAGE FROM A SAMPLE EMPLOYMENT APPLICATION THAT CONTAINS THE CHECKLIST FOR EMPLOYEE DISCLOSURE.

DISCLOSURE REQUIREMENTS

Are you one of the following: current member of the AR General Assembly? former member of the AR General Assembly? current constitutional officer? former constitutional officer? former constitutional officer? former state employee? 2. Are any of your relatives one of the following: (Relative is defined as husband, wife, mother, father, stepmother, stepfather, mother-in-law, father-in-law, brother, sister, stepbrother, stepsister, half-brother, half-sister, brother-in-law, sister-in-law, daughter, son, stepdaughter, stepson, daughter-in-law, son-in-law, uncle, aunt, first cousin, nephew, or nicee) current member of the AR General Assembly? current constitutional officer? former member of the AR General Assembly? former member of the AR General Assembly? downer than the accordance of the above applies. 3. None of the above applies. 4. Certain family or business relationships may prohibit an agency from hiring you. If any block is checked in #1 or #2 above, you will be required to disclose additional information if you are selected for interview to determine whether your employment would be prohibited or would require approval. I understand, should I become an employee of the State of Arkansas, that I may be reprimanded or terminated for falling to disclose the required information or disclosing incorrect information. **Understand that, should I become an employee of the State of Arkansas, I will be required to disclose any benefit obtained from a state contract by a business in which I have a financial interest, pursuant to ACA §19-11-706, and will be subject to civil, criminal, and/or administrative remedies if I violate any of these restricted from supervising or being supervised by a relative. If also understand that, should I become an employee of the State of Arkansas, I will be restricted both during and after state employment from certain activities concerning procurement and selling to the state, pursuant to ACA §19-11-709, and will be subject to criminal or civilities under A
mother-in-law, father-in-law, brother, sister, stepbrother, stepsister, half-brother, half-sister, brother-in-law, daughter, so, stepdaughter, stepson, daughter-in-law, son-in-law, uncle, auth, first oussin, nephew, or niece) current member of the AR General Assembly? former member of the AR General Assembly? current constitutional officer? former constitutional officer? former constitutional officer? former state employee? does not be above applies. Certain family or business relationships may prohibit an agency from hiring you. If any block is checked in #1 or #2 above, you will be required to disclose additional information if you are selected for interview to determine whether your employment would be prohibited or would require approval. I understand, should I become an employee of the State of Arkansas, that I may be reprimanded or terminated for failing to disclose the required information or disclosing incorrect information. understand that, should I become an employee of the State of Arkansas, I will be required to disclose any benefit obtained from a state contract by a business in which I have a financial interest, pursuant to ACA §19-11-706, and will be subject to civil, criminal, and/or administrative remedies if I fail to report such benefits. understand that, should I become an employee of the State of Arkansas, I will be restricted both during and after state employment or constitutions concerning procurement and selling to the state, pursuant to ACA §19-11-709, and will be subject to civil criminal, and/or administrative remedies if I violate any of these restrictions. also understand that as an employee of the State of Arkansas I am restricted from supervising or being supervised by a relative. If am hired and it can be proven that I falsely disclosed information in gaining employment that I could be subject to criminal or civil penalties under ACA § 25-16-1004 or § 25-16-1005.
Certain family or business relationships may prohibit an agency from hiring you. If any block is checked in #1 or #2 above, you will be required to disclose additional information if you are selected for interview to determine whether your employment would be prohibited or would require approval. I understand, should I become an employee of the State of Arkansas, that I may be reprimanded or terminated for failing to disclose the required information or disclosing incorrect information. understand that, should I become an employee of the State of Arkansas, I will be required to disclose any benefit obtained from a state contract by a business in which I have a financial interest, pursuant to ACA §19-11-706, and will be subject to civil, criminal, and/or administrative remedies if I fail to report such benefits. understand that, should I become an employee of the State of Arkansas, I will be restricted both during and after state employment from certain activities concerning procurement and selling to the state, pursuant to ACA §19-11-709, and will be subject to civil criminal, and/or administrative remedies if I violate any of these restrictions. also understand that as an employee of the State of Arkansas I am restricted from supervising or being supervised by a relative. If am hired and it can be proven that I falsely disclosed information in gaining employment that I could be subject to criminal or civilenal times and the analysis of the state of Arkansas I am restricted from supervising or being supervised by a relative. If alsely disclosed information in gaining employment that I could be subject to criminal or civilenal times.
will be required to disclose additional information if you are selected for interview to determine whether your employment would be prohibited or would require approval. I understand, should I become an employee of the State of Arkansas, that I may be reprimanded or terminated for failing to disclose the required information or disclosing incorrect information. understand that, should I become an employee of the State of Arkansas, I will be required to disclose any benefit obtained from a state contract by a business in which I have a financial interest, pursuant to ACA §19-11-706, and will be subject to civil, criminal, and/or administrative remedies if I fail to report such benefits. understand that, should I become an employee of the State of Arkansas, I will be restricted both during and after state employment certain activities concerning procurement and selling to the state, pursuant to ACA §19-11-709, and will be subject to civil criminal, and/or administrative remedies if I violate any of these restrictions. also understand that as an employee of the State of Arkansas I am restricted from supervising or being supervised by a relative. If am hired and it can be proven that I faisely disclosed information in gaining employment that I could be subject to criminal or civil benefits under ACA § 25-16-1004 or § 25-16-1005.
state contract by a business in which I have a financial interest, pursuant to ACA §19-11-706, and will be subject to civil, criminal, and/or administrative remedies if I fail to report such benefits. understand that, should I become an employee of the State of Arkansas, I will be restricted both during and after state employment of the certain activities concerning procurement and selling to the state, pursuant to ACA §19-11-709, and will be subject to civil criminal, and/or administrative remedies if I violate any of these restrictions. also understand that as an employee of the State of Arkansas I am restricted from supervising or being supervised by a relative. If also understand it can be proven that I falsely disclosed information in gaining employment that I could be subject to criminal or civil penalties under ACA § 25-16-1004 or § 25-16-1005.
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Applicant/Employee Name:
Applicant/Employee Name: Date:
Applicant/Employee Name: Date:
(Please Print)
Applicant/Employee Signature

F-8 Rev. 02/03/15



Office of the General Counsel

MEMORANDUM

TO:

Chancellors

Vice President for Agriculture Director, Criminal Justice Institute

Director, Arkansas Archeological Survey

Director, Arkansas School for Mathematics, Sciences and the Arts

Dean, Clinton School of Public Service

FROM:

JoAnn C. Maxey, General Counsel

Joann Maxey

CC:

Barbara Goswick, Vice President for Finance

Rita Fleming, Associate Vice President for Finance

DATE:

January 6, 2017

RE:

Filing Statement of Financial Interest

Arkansas' ethics and disclosure laws require that certain University administrators file a Statement of Financial Interest (SFI) each year in January. In prior years, you have received a copy of a January 2013 memorandum prepared and circulated by Fred Harrison opining that the following categories of University administrators should file an SFI:

President and Vice Presidents at the System Office; Chancellors or chief executive officers of all campuses, divisions or units; Provosts, Deans, Vice Chancellors for Finance and Administration and Vice Chancellors for Advancement at UAMS and all four year institutions

Fred's excellent memorandum provides a detailed analysis of Ark. Code § 21-8-701, the relevant Advisory Opinion of the Arkansas Ethics Commission, as well as the factors he considered in reaching his conclusions. Essentially, Fred's rationale is based on who within our institutions constitutes an "agency head, department director or division director of state agency" as contemplated under the act and/or has significant involvement in budgeting, or hiring and disciplining of employees and other matters within their respective areas of responsibility (as discussed in the Advisory Opinion) that would require the type of transparency afforded by filing the SFI.

2404 North University Avenue / Little Rock, Arkansas 72207-3608 / 501-686-2520 / Fax 501-686-2517

I am unaware of any changes in the legislation or new Advisory Opinions that would cause me to offer a different opinion. As a result, all individuals in the above noted categories will need to file a Statement of Financial Interest after January 1 and before January 31, 2017. The form and instructions can be found online at http://www.arkansasethics.com/.

If you have any questions, please do not hesitate to contact me. Also, if you do not have a copy of Fred's memorandum and would like a copy, please let me know and I can forward one to you.