



TO: Chairman Thomas and Members of the ICOC
FROM: C. Scott Tocher, General Counsel
DATE: June 28, 2018
RE: Final Adoption of CIRM Conflict of Interest Code

Executive Summary

In March of this year, the ICOC approved initiation of the biennial process to amend CIRM's conflict of interest code, as required by law. That process, overseen by the Office of Administrative Law ("OAL") and the Fair Political Practices Commission ("FPPC," which reviews CIRM's Code) was begun in March and has almost concluded. CIRM circulated the proposed changes for public comment and has received approval for the changes by the FPPC. The proposed amendments are now ready for final adoption by the ICOC, after which the OAL will conduct a final review before going into effect. **Staff recommends adopting the proposed amendments, which have not been altered since the Board's initiation in March.**

Amendments to CIRM Conflict of Interest Code

In March of this year, staff commenced the regulatory process necessary to update CIRM's code. That process is overseen by the FPPC, which reviewed staff titles and job descriptions to determine the appropriate level of disclosure. The amendments were then circulated with interested persons and members of the public for further comment.

The proposed amendments comprise two documents: 1) Regulation 100000, Conflict of Interest Code; and 2) Appendices A and B. The amendments make minor technical amendments to Regulation 100000 and Appendix A. With respect to Appendix A (designated positions), staff, working with the FPPC, has updated the document to reflect the current organization of the institute. These revisions ensure that the disclosure categories are appropriate to the type of work performed by each position.

Requested Action: The CIRM team requests the ICOC's approval of this update to CIRM's conflict of interest code.

1 Amend 17 Cal. Code of Regs. section 10000 to read:

2 **§ 100000. Conflict of Interest Code - CIRM.**

3 (a) The Political Reform Act, Government Code sections 81000, et seq., requires state
4 and local government agencies to adopt and promulgate Conflict-of-Interest Codes. The Fair
5 Political Practices Commission has adopted a regulation, 2 California Code of Regulations
6 section 18730, which contains the terms of a standard Conflict-of-Interest Code, which can be
7 incorporated by reference, and which may be amended by the Fair Political Practices
8 Commission to conform to amendments in the Political Reform Act after public notice and
9 hearings. Therefore, the terms of 2 California Code of Regulations section 18730 and any
10 amendments to it duly adopted by the Fair Political Practices Commission, along with the
11 attached Appendices in which officials and employees are designated and disclosure categories
12 are set forth, are hereby incorporated by reference and constitute the Conflict of Interest Code of
13 the California Institute for Regenerative Medicine (“CIRM”).

14 (b) The Board Members, including the Chairman of the Independent Citizens Oversight
15 Committee, and President of CIRM, must file their statement of economic interests electronically
16 with the Fair Political Practices Commission.

17 (c) All other individuals holding designated positions must file their statements with
18 CIRM. All statements must be made available for public inspection and reproduction under
19 Government Code Section 81008.

20 Note: Authority cited: California Constitution, article XXXV; Section 125290.40, subd.(j),

21 Health and Safety Code; Government Code Section 87300.

22 Reference: Government Code section 87300; Health and Safety Code section 125290.40.

Deleted: The terms of 2 Cal. Code of Regs. section 18730 and any amendments to it duly adopted by the Fair Political Practices Commission except as set forth in chapter 3, article 1, subdivision (g), of Proposition 71, which was approved by the voters on November 2, 2004, along with the attached Appendix in which officials and employees are designated and disclosure categories are set forth, are hereby incorporated by reference and constitute the Conflict of Interest Code of the California Institute for Regenerative Medicine (“CIRM”).

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California Institute for Regenerative Medicine
Conflict of Interest Code
Appendix A

Designated Positions	Disclosure Category
<i>Independent Citizens' Oversight Committee</i>	
Chair, Independent Citizens' Oversight Committee	1
Vice Chair, Independent Citizens' Oversight Committee	1
Member, ICOC	1
Executive Assistant to the Vice Chair	4
<i>Office of the President</i>	
President and CEO	1
Senior Executive Assistant to the President and CEO	3
<i>Legal</i>	
General Counsel	1
Deputy General Counsel	1
Associate General Counsel	1
Vice President Portfolio Operations & Performance	1
Contracts Administrator	4
Associate Director, Grants Manager	2
Associate Director, Grants Management Operations and External Funding Partnerships	2
<i>Translation and Discovery</i>	
Vice President, Translation and Discovery	1
Associate Director of Translation and Discovery	2
Science Officer	2
Senior Science Officer	2
Grants Management Officer	2
Executive Assistant and Event Coordinator	4
<i>CIRM Business Development</i>	
Director, Business Development	1
Science Officer	2
Senior Science Officer	2
<i>Application and Review</i>	
Vice President, Application and Review	1
Senior Science Officer	2
Project Manager	2

Therapeutics and Strategic Infrastructure

Vice President of Therapeutics and Strategic Infrastructure	1
Senior Science Officer, Project Manager CAPS	2
Associate Director, Therapeutics	2
Grants Management Specialist	2
Senior Science Officer	2
Grants Management Specialist I/II	2
Senior Officer to the Medical & Ethical Standards Working Group	2

Finance and Administration

Senior Director of Public Communications & Patient Advocate Outreach	1
Vice President, Administration	
Executive Assistant and Event Coordinator	3
IT Director	4
Associate Director, Marketing & Communications	3
Lead Architect (IT)	4
Systems Engineer	4
Senior Software Engineer IT	4
Contractor Computer Programmer	3
Multi-Media Editor	4
Human Resources Officer	3
Associate Director of Human Resources	3
Vice President, Finance	1
Supervising Financial Services Officer	3
Financial Services Officer	3
Office Manager	3
Associate Director, Communications	3
Office Manager, Accounting Specialist	3

Consultants/New Positions *

*With respect to consultants/new positions, the agency President 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 comply fully with the disclosure requirements described in this section. Such 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 agency President’s determination is a public record and shall be retained for public inspection in the same manner and location as this conflict of interest code. (Government Code Section 81008.)

Appendix B

Disclosure Categories

Category 1

An individual holding a designated position shall report any:

Investments, business positions in business entities, and income (including receipt of gifts, loans and travel payments) and all interests in real property located in the state of California.

Category 2

An individual holding a designated position shall report any:

Investments, business positions in business entities and income (including receipt of gifts, loans and travel payments) if the business entity or source of income is of the type to receive grants or other monies from or through CIRM;

Investments, business positions in business entities and income (including receipt of gifts, loans and travel payments) if the business entity or the source of income is of the type to offer or provide facilities, services, goods or products purchased or used, or contracted for, by CIRM, and is providing or planning to provide such facilities, services, goods or products; and

Investments, business positions in business entities and income (including receipt of gifts, loans and travel payments) if the business entity or source of income is engaged in biomedical research or manufacturing biomedical pharmaceuticals.

Category 3

An individual holding a designated position shall report any:

Investments, business positions in business entities and income, (including receipt of gifts, loans and travel payments) if the business entity or source of income is engaged in biomedical research or manufacturing biomedical pharmaceuticals.

Investments, business positions in business entities and income (including receipt of gifts, loans and travel payments) if the business entity or the source of income is of the type to offer or provide facilities, services, goods or products purchased or used, or contracted for, by CIRM, and is providing or is planning to provide such facilities, services, goods or products.

Category 4

An individual holding a designated position shall report any:

Investments, business positions in business entities and income (including receipt of gifts, loans and travel payments) if the business entity or the source of income is of the type to offer or provide facilities, services, goods or products purchased or used, or contracted for, by CIRM, and is providing or is planning to provide such facilities, services, goods or products.