

Amendment to Rule 2000, Conflict of Interest
Filed with Secretary of State November 17, 2015
Effective December 17, 2015

FILE PRINT

STATE OF CALIFORNIA—OFFICE OF ADMINISTRATIVE LAW

NOTICE PUBLICATION/REGULATIONS SUBMISSION

(See instructions on reverse)

For use by Secretary of State only

STD. 400 (REV. 01-2013)

OAL FILE NUMBERS	NOTICE FILE NUMBER <i>request</i> Z-2015-0723-02	REGULATORY ACTION NUMBER 2015-1029-09FP	EMERGENCY NUMBER
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ENDORSED - FILED
In the office of the Secretary of State
of the State of California

NOV 17 2015

3:45 PM

For use by Office of Administrative Law (OAL) only

2015 OCT 29 P 3:50

OFFICE OF
ADMINISTRATIVE LAW

NOTICE

REGULATIONS

AGENCY WITH RULEMAKING AUTHORITY
California Horse Racing Board

AGENCY FILE NUMBER (if any)

A. PUBLICATION OF NOTICE (Complete for publication in Notice Register)

1. SUBJECT OF NOTICE		TITLE(S)	FIRST SECTION AFFECTED	2. REQUESTED PUBLICATION DATE	
3. NOTICE TYPE <input type="checkbox"/> Notice re Proposed <input type="checkbox"/> Regulatory Action <input type="checkbox"/> Other		4. AGENCY CONTACT PERSON		TELEPHONE NUMBER	FAX NUMBER (Optional)
OAL USE ONLY		ACTION ON PROPOSED NOTICE <input type="checkbox"/> Approved as Submitted <input type="checkbox"/> Approved as Modified <input type="checkbox"/> Disapproved/Withdrawn		NOTICE REGISTER NUMBER 2015 32 2	PUBLICATION DATE 8/7/2015

B. SUBMISSION OF REGULATIONS (Complete when submitting regulations)

1a. SUBJECT OF REGULATION(S) Conflict of Interest	1b. ALL PREVIOUS RELATED OAL REGULATORY ACTION NUMBER(S) <i>request</i> Z-2015-0723-02 2003-0722-01P
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2. SPECIFY CALIFORNIA CODE OF REGULATIONS TITLE(S) AND SECTION(S) (Including title 26, if toxics related)	
SECTION(S) AFFECTED (List all section number(s) individually. Attach additional sheet if needed.)	ADOPT AMEND 2000 REPEAL
TITLE(S) 4	

3. TYPE OF FILING			
<input type="checkbox"/> Regular Rulemaking (Gov. Code §11346)	<input type="checkbox"/> Certificate of Compliance: The agency officer named below certifies that this agency complied with the provisions of Gov. Code §§11346.2-11347.3 either before the emergency regulation was adopted or within the time period required by statute.	<input type="checkbox"/> Emergency Readopt (Gov. Code, §11346.1(h))	<input type="checkbox"/> Changes Without Regulatory Effect (Cal. Code Regs., title 1, §100)
<input type="checkbox"/> Resubmittal of disapproved or withdrawn nonemergency filing (Gov. Code §11349.3, 11349.4)	<input type="checkbox"/> Resubmittal of disapproved or withdrawn emergency filing (Gov. Code, §11346.1)	<input checked="" type="checkbox"/> File & Print	<input type="checkbox"/> Print Only
<input type="checkbox"/> Emergency (Gov. Code, §11346.1(b))		<input type="checkbox"/> Other (Specify) _____	

4. ALL BEGINNING AND ENDING DATES OF AVAILABILITY OF MODIFIED REGULATIONS AND/OR MATERIAL ADDED TO THE RULEMAKING FILE (Cal. Code Regs. title 1, §44 and Gov. Code §11347.1)

5. EFFECTIVE DATE OF CHANGES (Gov. Code, §§ 11343.4, 11346.1(d); Cal. Code Regs., title 1, §100)			
<input type="checkbox"/> Effective January 1, April 1, July 1, or October 1 (Gov. Code §11343.4(a))	<input type="checkbox"/> Effective on filing with Secretary of State	<input type="checkbox"/> §100 Changes Without Regulatory Effect	<input checked="" type="checkbox"/> Effective other (Specify) 30 days after filing per 2 CCR 18750(l)

6. CHECK IF THESE REGULATIONS REQUIRE NOTICE TO, OR REVIEW, CONSULTATION, APPROVAL OR CONCURRENCE BY, ANOTHER AGENCY OR ENTITY			
<input type="checkbox"/> Department of Finance (Form STD. 399) (SAM §6660)	<input checked="" type="checkbox"/> Fair Political Practices Commission	<input type="checkbox"/> State Fire Marshal	
<input type="checkbox"/> Other (Specify) _____			

7. CONTACT PERSON Philip Laird	TELEPHONE NUMBER (916) 263-6025	FAX NUMBER (Optional) (916) 263-6042	E-MAIL ADDRESS (Optional) pjlaird@chr.ca.gov
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8. I certify that the attached copy of the regulation(s) is a true and correct copy of the regulation(s) identified on this form, that the information specified on this form is true and correct, and that I am the head of the agency taking this action, or a designee of the head of the agency, and am authorized to make this certification.

SIGNATURE OF AGENCY HEAD OR DESIGNEE 	DATE 10/27/15
TYPED NAME AND TITLE OF SIGNATORY Jacqueline Wagner, Assistant Executive Director	

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ENDORSED APPROVED

NOV 17 2015

Office of Administrative Law

CALIFORNIA HORSE RACING BOARD
TITLE 4, CALIFORNIA CODE OF REGULATIONS
ARTICLE 20, CONFLICT OF INTEREST
AMENDMENT OF RULE 2000, GENERAL PROVISIONS

2000. General Provisions.

The Political Reform Act, Government Code Sections 81000, et seq., requires state and local government agencies to adopt and promulgate Conflict of Interest Codes. The Fair Political Practices Commission (FPPC) has adopted a regulation, 2 California Code of Regulations Section 18730, which contains the terms of a standard Conflict of Interest Code, which can be incorporated by reference, and which may be amended by the FPPC to conform to amendments in the Political Reform Act after public notice and hearings. Therefore, the terms of 2 California Code of Regulations Section 18730 and any amendments to it duly adopted by the FPPC 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 Horse Racing Board.

Designated employees shall file statements of economic interests with the agency. Upon receipt of the statements of the Commissioners and the Executive Director, the agency shall make and retain a copy and forward the original of these statements to the FPPC. Statements for all other designated employees will be retained by the agency.

Authority: Section 87306,
Government Code.
Reference: Sections 87300-87302 and 87306,
Government Code.

Appendix

Designated Positions	Assigned Disclosure Categories
Commissioners (members)	1,2
Executive Director	1,2
Career Executive Assignment 2-(Assistant Executive Director)	1,2
<u>Equine Medical Director</u>	<u>1,2</u>
<u>Attorney (All Levels)</u>	<u>1,2</u>
Chief of <u>Licensing & Enforcement</u> Investigator	1,2
Staff Services Manager I/II.....	1,2
Senior Management Auditor.....	1,2
Senior Programmer Analyst (Chief Information Officer)	1,2
Staff Services Analyst/Associate Governmental Program Analyst (Contracts Analyst)	1d
Business Services Assistant/Business Services Officer	1d
Stewards.....	1,2
<u>Hearing Officers</u>	<u>1,2</u>
Supervising Special Investigator <u>I/II</u> , Senior Special Investigator and Special Investigator-I ..	1,2
Associate Governmental Program Analyst (Public Relations Officer)	1,2
Consultants	1,2,3
Racing Officials - Official Veterinarian	1a,b,2
Consultants / New Positions.....	*

* The Executive Director may determine, in writing, that a particular consultant/new position,

hired to perform a range of duties limited in scope, is not required to fully comply with the disclosure requirements in this rule. The written determination shall include a description of the consultant's/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.

Disclosure Categories

Category 1

All designated employees shall report:

Any investments, business positions and sources of income, including receipt of gifts, loans and travel payments in a source which:

(a) Is a racing association or entity, which has a financial interest in a racing association or racetrack or any management company which participates in or earns any income from pari-mutuel wagering.

(b) Is a business or person "attendant upon horses" and is subject to licensing and/or regulation by the California Horse Racing Board (Board);

(c) Is a concessionaire of a racing association subject to approval by the Board;

(d) Is a business that has, within the previous two years, leased space, or provided goods, services, equipment, materials or supplies of the type used by the Board;

(e) The designated employee knows, or has reason to know, has contracted with, or plans to contract with, any concessionaire of a racing association to provide products for use by that concessionaire in connection with the concession;

(f) Is any person against whom the Board is contemplating legal or administrative action

or has intervened in such action;

(g) Is a manufacturer, wholesaler, or distributor of products required or approved by the Board for use at racing association meetings.

Category 2

All designated employees shall report:

Any investments in or sources of income, including receipt of gifts, loans and travel payments derived from racehorses or from persons or entities that own or breed racehorses.

Category 3

~~Consultants shall disclose all economic interests as outlined in Categories 1 and 2 with the following exception:~~

~~The Executive Director may determine, in writing, that a particular consultant, hired to perform a range of duties limited in scope, is not required to fully comply with the disclosure requirements in this rule. The written determination shall include a description of the consultant'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.~~

This is the last page of the conflict of interest code for the **California Horse Racing Board**.



CERTIFICATION OF FPPC APPROVAL

Pursuant to Government Code Section 87303, the conflict of interest code for the **California Horse Racing Board** was approved on 10/20/ 2015.

A handwritten signature in black ink, appearing to be "B. Lau", written over a horizontal line.

Brian G. Lau
Senior Commission Counsel

Fair Political Practices Commission

Pursuant to Government Code Section 11346.2:

Secretary of State Filing Date:

Effective: