



POTENTIAL CONFLICT OF INTEREST DISCLOSURE FORM

This form is used to identify a situation where a College employee who has, or whose relative has, either a substantial interest in any contract with, sale or service to, or purchase from the College; or a substantial interest in any decision of the College which might benefit the employee or the employee's relative. Arizona Revised Statutes (A.R.S.) require the disclosure of any substantial interest by a public officer or employee of a political subdivision [Yavapai College] in any contract, sale, purchase, or service by or to the College, or a substantial interest in any decision of the College which might benefit the employee or the employee’s relative. If such an interest exists, the officer or employee must refrain from participating in the decision, contract, sale, or purchase in any manner. For the purposes of this form and YC Policy 2.20 Conflicts of Interest, public officers include advisory board members who serve in a capacity to influence the institution or its programs.

Any officer or employee who has, or whose relative has, such a substantial interest shall make known that interest by completing this form, which shall be kept on file (open to the public) and maintained by the College in Human Resources . Completed forms are also forwarded to the Procurement & Contract Services Department to determine what steps should be taken to resolve it (e.g., solicit 3 competitive bids to ensure we are contracting with the lowest cost provider). The employee shall thereafter refrain from voting or participating in any manner in the contract, sale, purchase, or decision. It is the responsibility of each person to keep the disclosure current. See Exhibit A (attached to this document) for legal definitions of “relative” and “substantial interest.”

Example of how to address a Conflict of Interest: If in addition to your College employment, you own a business which sells a product, you may not as a College employee participate in the process of writing specifications for an order of this type of product for the College or participate with anyone else in the decision of which product to purchase. You also may not sell your product directly to the College, no matter the dollar amount, unless a competitive process was used, and you were not in any way involved in the decision- making. You also may not hire family members for consulting or procure goods or services from family members without Procurement soliciting three bids on an annual basis. If there are questions related to business conflicts (hiring outside talent or the procurement of products or services from family members) please reach out to the Procurement & Contract Services Department. If there are questions related to employing family members, please contact the Human Resources Department.

- 1. Business description - describe the involvement/business interest that gives rise to this disclosure:
 - 1.1. Individual’s Name: _____
 - 1.1.1. If the aforementioned individual is not the YC employee making this disclosure, describe the relationship of the individual to the YC Employee: _____
 - 1.2. Name of Business Entity: _____
 - 1.2.1. Type of business entity (Proprietorship, LLC, etc.): _____
 - 1.2.2. Tax ID# of the business entity (if known): _____
 - 1.2.3. Nature of individual’s interest in the business entity (employee, officer, board, etc.): _____
 - 1.3. Type of action (purchase of type of goods or services) which might affect your outside business or activity which could potentially cause a conflict to arise: _____
 - 1.4. Business requirements for the good or service (i.e., specific details required to solicit competitive bids): _____



1.5. Anticipated spend for the goods or services on an annual basis (estimated): _____

2. Acknowledgement & Signature

I acknowledge that:

- a) I have read and am familiar with the A.R.S. Conflict of Interest Sections 38-501 through 38-511 (found at https://cityofpage.org/images/hr_pdfs/Personnel_Policies/4-Conflict-of-Interest-ARS-38-501-to-511.pdf and Exhibit A attached here) and;
- b) I have read and am familiar with Yavapai College [Conflict of Interest Policy 2.20](#) and;
- c) I have read Section 3.16 of the Yavapai College Procurement & Contracts Procedure Manual located at: <https://v5.yc.edu/v6/intranet/pages/procurement/procurement-and-contract-services-procedures-manual.pdf> and will comply;
- d) I have disclosed above all conflicts of interest and potential conflicts of interest of which I am aware, and will keep this disclosure current if new conflicts or potential conflicts arise, and;
- e) I will refrain from voting upon or participating in any manner as an officer or employee in any contract, sale, purchase, solicitation for bid, negotiation or execution of a contract or purchase order directly (or indirectly within my department) or be involved in a decision in which I may have a substantial interest as that term is defined in A.R.S. Section 38-501.

Signature: _____

Date: _____

Please return your completed & signed form to: ConflictOfInterest@yc.edu



Exhibit A
ARS 38-501 through ARS 38-511.

38-501. Application of article A. This article shall apply to all public officers and employees of incorporated cities or towns, of political subdivisions and of the state and any of its departments, commissions, agencies, bodies or boards. B. Notwithstanding the provisions of any other law, or the provisions of any charter or ordinance of any incorporated city or town to the contrary, the provisions of this article shall be exclusively applicable to all officers and employees of every incorporated city or town or political subdivision or the state and any of its departments, commissions, agencies, bodies, or boards and shall supersede the provisions of any other such law, charter provision or ordinance. C. Other prohibitions in the state statutes against any specific conflict of interests shall be in addition to this article if consistent with the intent and provisions of this article.

38-502. Definitions In this article, unless the context otherwise requires: 1. "Compensation" means money, a tangible thing of value or a financial benefit. 2. "Employee" means all persons who are not public officers and who are employed on a fulltime, part-time or contract basis by an incorporated city or town, a political subdivision, or the state or any of its departments, commissions, agencies, bodies or boards for remuneration. 3. "Make known" means the filing of a paper which is signed by a public officer or employee, and which fully discloses a substantial interest or the filing of a copy of the official minutes of a public agency which fully discloses a substantial interest. The filing shall be in the special file established pursuant to section 38-509. 4. "Official records" means the minutes or papers, records and documents maintained by a public agency for the specific purpose of receiving disclosures of substantial interests required to be made known by this article. 5. "Political subdivision" means all political subdivisions of the state and county, including all school districts. 6. "Public agency" means: (a) All courts. (b) Any department, agency, board, commission, institution, instrumentality or legislative or administrative body of the state, a county, an incorporated town or city and any other political subdivision. (c) The state, county and incorporated cities or towns and any other political subdivisions. 7. "Public competitive bidding" means the method of purchasing defined in title 41, chapter 4, article 3, or procedures substantially equivalent to such method of purchasing, or as provided by local charter or ordinance. 8. "Public officer" means all elected and appointed officers of a public agency established by charter, ordinance, resolution, state constitution or statute. 9. "Relative" means the spouse, child, child's child, parent, grandparent, brother or sister of the whole or half blood and their spouses and the parent, brother, sister or child of a spouse. 10. "Remote interest" means: (a) That of a non-salaried officer of a nonprofit corporation. (b) That of a landlord or tenant of the contracting party. (c) That of an attorney of a contracting party. (d) That of a member of a nonprofit cooperative marketing association. (e) The ownership of less than three per cent of the shares of a corporation for profit, provided the total annual income from dividends, including the value of stock dividends, from the corporation does not exceed five per cent of the total annual income of such officer or employee and any other payments made to him by the corporation do not exceed five per cent of his total annual income. (f) That of a public officer or employee in being reimbursed for his actual and necessary expenses incurred in the performance of official duty. (g) That of a recipient of public services generally provided by the incorporated city or town, political subdivision or state department, commission, agency, body or board of which he is a public officer or employee, on the same terms and conditions as if he were not an officer or employee. (h) That of a public-school board member when the relative involved is not a dependent, as defined in section 43-1001, or a spouse. (i) That of a public officer or employee, or that of a relative of a public officer or employee, unless the contract or decision involved would confer a direct economic benefit or detriment upon the officer, employee or his relative, of any of the following: (i) Another political subdivision. (ii) A public agency of another political subdivision. (iii) A public agency except if it is the same governmental entity. (j) That of a member of a trade, business, occupation, profession or class of persons consisting of at least ten members which is no greater than the interest of the other members of that trade, business, occupation, profession or class of persons. 11. "Substantial interest" means any pecuniary or proprietary interest, either direct or indirect, other than a remote interest.

38-503. Conflict of interest; exemptions; employment prohibition A. Any public officer or employee of a public agency who has, or whose relative has, a substantial interest in any contract, sale, purchase or service to such public agency shall make known that interest in the official records of such public agency and shall refrain from voting upon or otherwise participating in any manner as an officer or employee in such contract, sale or purchase. B. Any public officer or employee who has, or

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whose relative has, a substantial interest in any decision of a public agency shall make known such interest in the official records of such public agency and shall refrain from participating in any manner as an officer or employee in such decision. C. Notwithstanding the provisions of subsections A and B of this section, no public officer or employee of a public agency shall supply to such public agency any equipment, material, supplies or services, unless pursuant to an award or contract let after public competitive bidding, except that: 1. A school district governing board may purchase, as provided in sections 15-213 and 15-323, supplies, materials and equipment from a school board member. 2. Political subdivisions other than school districts may purchase through their governing bodies, without using public competitive bidding procedures, supplies, materials and equipment not exceeding three hundred dollars in cost in any single transaction, not to exceed a total of one thousand dollars annually, from a member of the governing body if the policy for such purchases is approved annually. D. Notwithstanding subsections A and B of this section and as provided in sections 15-421 and 15-1441, the governing board of a school district or a community college district may not employ a person who is a member of the governing board or who is the spouse of a member of the governing board.

38-504. Prohibited acts A. A public officer or employee shall not represent another person for compensation before a public agency by which the officer or employee is or was employed within the preceding twelve months or on which the officer or employee serves or served within the preceding twelve months concerning any matter with which the officer or employee was directly concerned and in which the officer or employee personally participated during the officer's or employee's employment or service by a substantial and material exercise of administrative discretion. B. During the period of a public officer's or employee's employment or service and for two years thereafter, a public officer or employee shall not disclose or use for the officer's or employee's personal profit, without appropriate authorization, any information acquired by the officer or employee in the course of the officer's or employee's official duties which has been clearly designated to the officer or employee as confidential when such confidential designation is warranted because of the status of the proceedings or the circumstances under which the information was received and preserving its confidentiality is necessary for the proper conduct of government business. A public officer or employee shall not disclose or use, without appropriate authorization, any information that is acquired by the officer or employee in the course of the officer's or employee's official duties and that is declared confidential by law. C. A public officer or employee shall not use or attempt to use the officer's or employee's official position to secure any valuable thing or valuable benefit for the officer or employee that would not ordinarily accrue to the officer or employee in the performance of the officer's or employee's official duties if the thing or benefit is of such character as to manifest a substantial and improper influence on the officer or employee with respect to the officer's or employee's duties.

38-505. Additional income prohibited for services A. No public officer or employee may receive or agree to receive directly or indirectly compensation other than as provided by law for any service rendered or to be rendered by him personally in any case, proceeding, application, or other matter which is pending before the public agency of which he is a public officer or employee. B. This section shall not be construed to prohibit the performance of ministerial functions including, but not limited to, the filing, or amendment of tax returns, applications for permits and licenses, incorporation papers, and other documents.

38-506. Remedies A. In addition to any other remedies provided by law, any contract entered into by a public agency in violation of this article is voidable at the instance of the public agency. B. Any person affected by a decision of a public agency may commence a civil suit in the superior court for the purpose of enforcing the civil provisions of this article. The court may order such equitable relief as it deems appropriate in the circumstances including the remedies provided in this section. C. The court may in its discretion order payment of costs, including reasonable attorney's fees, to the prevailing party in an action brought under subsection B.

38-507. Opinions of the attorney general, county attorneys, city or town attorneys and house and senate ethics committee Requests for opinions from either the attorney general, a county attorney, a city or town attorney, the senate ethics committee or the house of representatives ethics committee concerning violations of this article shall be confidential, but the final opinions shall be a matter of public record. The county attorneys shall file opinions with the county recorder, the city or town attorneys shall file opinions with the city or town clerk, the senate ethics committee shall file opinions with the senate secretary and the house of representatives ethics committee shall file opinions with the chief clerk of the house of



representatives.

38-508. Authority of public officers and employees to act A. If the provisions of section 38-503 prevent an appointed public officer or a public employee from acting as required by law in his official capacity, such public officer or employee shall notify his superior authority of the conflicting interest. The superior authority may empower another to act or such authority may act in the capacity of the public officer or employee on the conflicting matter. B. If the provisions of section 38-503 prevent a public agency from acting as required by law in its official capacity, such action shall not be prevented if members of the agency who have apparent conflicts make known their substantial interests in the official records of their public agency.

38-509. Filing of disclosures Every political subdivision and public agency subject to this article shall maintain for public inspection in a special file all documents necessary to memorialize all disclosures of substantial interest made known pursuant to this article.

38-510. Penalties A. A person who: 1. Intentionally or knowingly violates any provision of sections 38-503 through 38-505 is guilty of a class 6 felony. 2. Recklessly or negligently violates any provision of sections 38-503 through 38-505 is guilty of a class 1 misdemeanor. B. A person found guilty of an offense described in subsection A of this section shall forfeit his public office or employment if any. C. It is no defense to a prosecution for a violation of sections 38-503 through 38-505 that the public officer or employee to whom a benefit is offered, conferred or agreed to be conferred was not qualified or authorized to act in the desired way. D. It is a defense to a prosecution for a violation of sections 38-503 through 38-505 that the interest charged to be substantial was a remote interest.

38-511. Cancellation of political subdivision and state contracts; definition A. The state, its political subdivisions or any department or agency of either may, within three years after its execution, cancel any contract, without penalty or further obligation, made by the state, its political subdivisions, or any of the departments or agencies of either if any person significantly involved in initiating, negotiating, securing, drafting or creating the contract on behalf of the state, its political subdivisions or any of the departments or agencies of either is, at any time while the contract or any extension of the contract is in effect, an employee or agent of any other party to the contract in any capacity or a consultant to any other party of the contract with respect to the subject matter of the contract. B. Leases of state trust land for terms longer than ten years cancelled under this section shall respect those rights given to mortgagees of the lessee by section 37-289 and other lawful provisions of the lease. C. The cancellation under this section by the state or its political subdivisions shall be effective when written notice from the governor or the chief executive officer or governing body of the political subdivision is received by all other parties to the contract unless the notice specifies a later time. D. The cancellation under this section by any department or agency of the state or its political subdivisions shall be effective when written notice from such party is received by all other parties to the contract unless the notice specifies a later time. E. In addition to the right to cancel a contract as provided in subsection A of this section, the state, its political subdivisions or any department or agency of either may recoup any fee or commission paid or due to any person significantly involved in initiating, negotiating, securing, drafting or creating the contract on behalf of the state, its political subdivisions or any department or agency of either from any other party to the contract arising as the result of the contract. F. Notice of this section shall be included in every contract to which the state, its political subdivisions, or any of the departments or agencies of either is a party. G. For purposes of this section, "political subdivisions" do not include entities formed or operating under title 48, chapter 11, 12, 13, 17, 18, 19 or 22.