

April 10, 2023

**TO:** Employees who are required to file Statements of Substantial Interests

**FROM:** Mike Rounds, Vice Provost for Operations

**SUBJECT:** Submitting Your Statement of Substantial Interests (SSI)

Kansas state law (K.S.A. 46-285; K.S.A. 46-282) requires that state agencies annually submit to the Kansas Governmental Ethics Commission a list of employees (“designees”) who (1) hold major policy-making positions (chairs, directors, deans, vice provosts, etc.), (2) are responsible for contracting, purchasing or procurement (except persons whose sole responsibility is the purchasing of gasoline or emergency repair for a state vehicle assigned to them for their use or those whose sole responsibility relating to purchasing or procurement includes only transactions pursuant to preexisting state contracts), (3) write or draft specifications for contracts, (4) award grants, benefits, or subsidies, or (5) are responsible for inspecting, licensing, or regulating any person or entity.

In addition, Kansas state law (K.S.A. 46-247 (i)) requires the University to submit the names of faculty members who receive annual salaries of $150,000, other than adjunct faculty members. The law stipulates that employees whose names are included on the list must file statements of substantial interests with the Secretary of State between April 15 and April 30. (K.S.A. 46-248 (a). However, you may file in advance of April 15 once you have received the notification from Human Resource Management.

Because of the responsibilities associated with your current position, or because you are a faculty member with an annual salary of $150,000 or more, you have been included on the list submitted by the University of Kansas, Lawrence.

Please read the letter from the Governmental Ethics Commission at <https://policy.ku.edu/sites/policy.ku.edu/files/docs/Kansas_Governmental_Ethics_Commission_2023.pdf> and review the guides and definitions available on the SSI Help Page at, <https://sos.ks.gov/elections/elections.html> fill out the SSI form available at <https://sos.ks.gov/lobbyist-legislative/lobbyist-legislative.html>, and submit the form electronically to the Secretary of State so that it arrives by April 30 of the current year.

If you do not have access to a computer, you may obtain a paper copy of the form and instructions from Human Resource Management and submit your form by mail to the Kansas Secretary of State, Elections Division, Memorial Hall, 1st Floor, 120 SW 10th Avenue, Topeka, KS 66612-1594.

If you filed electronically in the previous year, you will be able to access that filing this year and simply update your response. Please note that the user name and password that you use for filing the SSI are NOT the same as your KU username and password. If you don’t remember the SSI username and password that you used last year, click on “Forgot/resend user name and password?” and fill out the requested information.

You should get an email response with the appropriate information within less than a minute. If you get a response that indicates that password cannot be provided because the first name, last name and/or email address you typed in does not match the records on file, call the Office of the Kansas Secretary of State, Elections Division at 785-296-4561.

If you file by mail, please make a copy of your form before sending it so that you have it for future reference. If your responsibilities have changed, or if you think you don't fit the definition, please confer first with your supervisor. If you need further information or clarification, you may contact Human Resource Management at 785-864-4946 or hrdept@ku.edu.

Members of the faculty and unclassified staff were asked at the beginning of the current fiscal year to fill out a form, “Declaration for Conflict of Interest and Conflict of Time Policy,” or to confirm information they had provided in the previous year.

The “Declaration for Conflict of Interest and Conflict of Time Policy” is related to requirements imposed by the federal government and the Kansas Board of Regents. Completion of that declaration does not relieve you of the responsibility to complete SSI, which has a different purpose and is required by state law.

The materials provided by the Governmental Ethics Commission at the website listed above include guides to filling out sections C through G and a set of definitions. The following information about filling out the form is tailored more specifically to University personnel.

Filling out the Statement of Substantial Interests:

Section A, Identification, is self-explanatory.

Section B: Most KU employees will check box 4; however, in some instances, more than one category may apply. Use “University of Kansas, Lawrence” to identify the University.

Section C, Ownership Interests: List any business interest exceeding 5% or

$5,000 that you or your spouse has had during the past year. For example, report stock or a mutual fund worth more than $5,000 even though your ownership share may be less than 5% of the stock or fund’s total worth. Likewise, report 5% or greater ownership in a property or business venture no matter what its value. If you or your spouse owns more than 5% of a business, you must also disclose the percentage held. “Other business interest” includes income from consulting, authorship, inventing, etc., so if you consult, receive royalties from publications, or provide services yourself, you are considered to own a business, even if it does not have a formal business name or formal business structure. List your ownership here.

In this section, you also must report, for you and your spouse, all mutual funds and all retirement accounts worth more than $5,000. We have been advised by Governmental Ethics Commission staff that this includes interests in KPERS, any of the current or former Regents Retirement plans (TIAA-CREF, ING, VOYA, the Security Benefit Group of Companies, or Lincoln Financial Advisors), and other retirement accounts such as voluntary tax sheltered annuities, the state 457 deferred compensation plan, IRAs, Keogh accounts, 401Ks, etc. You need not report the specific holdings within one of these plans or the amount, only the name of the company, e.g., “TIAA-CREF.” You are required to report your percentage of ownership interests. The Ethics Commission staff advises that you use “100%” when reporting on your retirement accounts, as you own 100% of your individual retirement. If you have questions about whether you have more than $5,000 in a given account, please contact the retirement plan directly.

Please note that you do not need to report certificates of deposits, bank savings or checking accounts in a savings and loan, shares in a credit unit, life insurance policies, annuities that are not part of a mutual fund portfolio, notes, bonds, debentures, or mortgages in this section.

Section D, Gifts or Honoraria: List any person, group, or business, including endowment associations, athletic corporations and other university-related entities, from which you or your spouse received gifts or honoraria with an aggregate value of

$500 or more. For example, if a local business gave your spouse Kansas City Chiefs tickets with an aggregate value of $500 or more, or if you presented a lecture and received an honorarium of $500, the gift or honorarium must be listed and the donor named. You should also name the donors of any gifts of unknown value.

Section E, Receipt of Compensation: Information about your KU employment was required in Section B of the form. If KU was your only employer in the last calendar year and you did not receive compensation of $2,000 or more from any other employer or business, check both lines in Section E.1. If you had other employers or if any businesses, endowment associations, athletic corporations or other university- related entities paid you at least $2,000 for services or work, list them in the available spaces. Include non-University summer employment. If a company retains you and pays you a regular, periodic sum for consulting, name the company here. (Report irregular or occasional consulting income in Section G.) Relevant information about your spouse’s employment and other compensation is to be listed in Section E.2.

Section F: Name organizations in which you or your spouse is an officer, director, etc. Include non-profit organizations to which you give uncompensated services. If you own a corporation or partnership, report your position title here.

Section G: List any business clients from whom you or your spouse received commissions or fees of $2,000, for example, a law firm in which your spouse is a partner and has a share of the fees or a realty firm from which your spouse received commissions. Also list companies that have paid you $2,000 or more in aggregate or one-time consulting fees (see E above).

If you have nothing to report in any section, check the "nothing to report" line in that section. Also, if you are filing by mail or fax, please sign and date the form, or it will be returned to you. The necessity of your submitting this form does not depend upon your having a substantial interest to report; it depends upon your position and the responsibilities or powers that you have in the position, or your salary as a faculty member, regardless of your financial interests. Failure to file this statement is a Class B misdemeanor.

If you have questions about filling out the form, you may contact Human Resource Management at 785-864-4946 or hrdept@ku.edu or contact the Governmental Ethics Commission at 785-296-4219. Questions about employee obligations under the state ethics statutes may be addressed to the Office of the General Counsel at 785-864-3276.