

## ADVISORY COMMITTEE CERTIFICATION FORM REGARDING THE APPOINTMENT OF FEDERAL REGISTERED LOBBYISTS

On June 18, 2010, President Barack Obama issued a Presidential Memorandum announcing a continued commitment to reduce the influence of special interests by keeping federal advisory committees and boards free of federally registered lobbyists. The Office of Management and Budget (OMB) was directed to issue final guidance to implement this directive following a public comment period. On October 5, 2011, OMB, published "Final Guidance on Appointment of Lobbyists to Federal Boards and Commissions." The prohibition on the appointment of federal registered lobbyists applies to appointments and re-appointments made after June 18, 2010.

On August 13, 2014, the Office of Management and Budget issued a notice of revised guidance regarding the prohibition against executive branch agencies and departments appointing or re-appointing federally registered lobbyists to advisory committees and other boards and commissions. The revised guidance clarifies that the ban applies to federally registered lobbyists serving on advisory committees, boards, and commissions in their individual capacity (i.e., as special Government employees (SGEs)) and does not apply if they are specifically appointed to represent the interests of a nongovernmental entity, a recognizable group of persons or nongovernmental entities, or state or local governments (i.e., as representatives).

Since members appointed to the **Advisory Council on Alzheimer's Research, Care, and Services** serve in their individual capacities, each member must certify, at least annually, that s/he is not a federally registered lobbyist. Members that become federally registered lobbyists after an appointment must resign or be removed from advisory committee service.

**I hereby certify that the following is true: I am not a federally registered lobbyist.\***

**Advisory Council on Alzheimer's Research, Care, and Services**

Name of Committee

Randall J. Bateman

Printed Name

(b)(6)

Signature

10-21-2021

Date

\*former lobbyists must meet criteria outlined in section A1 of OMB's *Final Guidance on Appointment of Lobbyists to Federal Boards and Commissions* published in the Federal Register on 10/5/2011.

## EDUCATIONAL DATA UPDATE FORM

Attachment 6 to FPM Ltr. 298-42

Name (Last, First, Middle Initial) <b>Randall J. Bateman</b>	Social Security Number <b>(b)(6)</b>	Educational Level <b>21</b> / _____ Instruction Program _____ / _____ / _____ / _____ / _____ Year of Degree/Certificate <b>05</b> / <b>2000</b>
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ENTER CODES HERE  
(As applicable)

## EDUCATION LEVEL

Code    Name

- |  |  |
|--|--|
| <p>01 No formal education or some elementary school did not complete. Elementary school means grades 1 through 8 or equivalent not completed.</p> <p>02 Elementary school completed – no high school. Grade 8 or equivalent completed.</p> <p>03 Some high school – did not graduate. High school means grades 9 through 12 equivalent.</p> <p>04 High school graduate or certificate or equivalency</p> <p>05 Terminal occupational program – did not complete. Program extending beyond grade 12, usually no more than 3 years; designed to prepare students for immediate employment in an occupation or cluster of occupations; not designed as the equivalent of the first two or three years of a baccalaureate degree program. Includes cooperative training or apprenticeship consisting of formal classroom instruction coupled with on-the-job training.</p> <p>05 Terminal occupational program – certificate of completion, diploma or equivalent. Two levels are recognized: (1) The technical and/or semi-professional level preparing technicians or semi-professional personnel in engineering and nonengineering fields; and (2) the craftsman/ clerical level training artisans, skilled operators, and clerical workers.</p> <p>06 Some college – less than one year. Less than 30 semester hours completed.</p> <p>08 One year college. 30-59 semester hours or 45-89 quarter hours completed.</p> <p>09 Two years college. 60-89 semester hours or 90-134 hours completed.</p> <p>10 Associate degree. 2-year college degree program completed.</p> <p>11 Three year college. 90-119 semester hours or 135-179 quarter hours completed.</p> <p>12 Four years college. 120 or more semester hours or 180 or more quarter hours complete – no baccalaureate (Bachelor's) degree.</p> <p>13 Bachelor's degree. Requires completion of at least four, but no more than five years of academic work; includes Bachelor's degree conferred in a cooperative plan or program that provides for alternate class attendance and employment in business, industry, or government to allow student to combine actual work experience with college studies.</p> <p>14 Post Bachelor's. Some work beyond (at a higher level than) the Bachelor's degree but no additional higher degree.</p> <p>15 First professional. Signifies the completion of academic requirements for selected-professions that are based on program requiring at least two academic years of previous college work for entrance and a total of at least six academic years of college work for completion, e.g., Dentistry (D.D.S. or D.M.D), Law (LL.B or J.D.), Medicine (M.D.), Theology (B.D.), Veterinary Medicine (D.V.M.), Chiroprody or Podiatry (D.S.C. or D.P.), Optometry (O.D.), and Osteopathy (D.O.)</p> | <p>16 Post first professional. Some work beyond (at a higher level than) the first professional degree, but no additional higher degree.</p> <p>17 Master's degree. For liberal arts and sciences customarily granted upon successful completion of one (sometimes two) academic years beyond the Bachelor's degree. In professional fields.</p> <p>18 Post Master's Some work beyond (at a higher level than) the Master's degree, but no additional high degree.</p> <p>19 Sixth year degree. Includes such degrees as Advanced Certification in Education, Advanced Master of Education, Advanced Graduate Certificate, Advanced Specialists in Education Certificate, Certificate of Advanced Study, Advanced Degree in Education, specifically in education, Licentiate in Philosophy, Specialist in Guidance and Counseling, Specialist in Art, Specialist in Science, Specialist in School Administration, Specialist in School Psychology, Licentiate in Sacred Theology.</p> <p>20 Post sixth year. Some work beyond (at a higher level than) the sixth-year degree but no additional higher degree.</p> <p>21 Doctorate degree. Includes such degrees as Doctor of Education, Doctor of Juridical Science, Doctor of Public Health, and the PH.d. (or equivalent) in any field. Does not include a Doctor's degree that is a first professional degree, per code 15.</p> <p>22 Post-Doctorate. Work beyond the Doctorate</p> |
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## PRIVACY ACT STATEMENT

The authority for collecting this information about you is 5 U.S. C., 7201. The information furnished will be used to update your education level to more currently reflect the highest level achieved. The information you furnish is voluntary and will be used for workforce analysis and planning.

Executive Order 9397 (November 22, 1943) authorizes use of your Social Security Number. The Order requires the use of your SSN for the orderly administration of personnel records. Furnishing your Social Security Number, as well as the other data is voluntary. Disclosure of this information may be made in accordance with the disclosure provisions of the Privacy Act of 1974 including the established routine uses for the OPM/GOVT-1, General Personnel Record's system of record.

## FOREIGN ACTIVITIES QUESTIONNAIRE

*This form is intended for use by members of Federal advisory committees who are subject to legal restrictions concerning foreign activities. These limitations apply to all advisory committee members except for those who serve strictly in a representative capacity (e.g., industry representatives) AND do not receive appointments as special Government employees. All other committee members are subject to the restrictions, regardless of the hiring mechanism used to obtain the member's services (e.g., a personnel appointment or a consulting contract). This form may also be used by ethics officials to gather information from full-time employees who have requested authorization for an outside activity that may involve a foreign entity. The foreign activities restrictions are described below.*

**The Emoluments Clause.** This provision of the United States Constitution prohibits anyone who holds an "Office of Profit or Trust" in the Government from accepting a position with a foreign state, whether compensated or uncompensated, or from accepting any compensation or other items of value, including salary, honoraria, and travel expenses, from a foreign state, except as authorized by Congress. The Department of Justice has advised that members of Federal advisory committees are deemed to hold an "Office of Profit or Trust" within the meaning of the Emoluments Clause unless they serve strictly in a representative capacity. For purposes of the Emoluments Clause, a "foreign state" is deemed to include an **international organization** in which the United States is NOT a member. In addition, a **foreign public university** is presumed to be part of the foreign state, unless the university is independent of the foreign government with respect to decisions regarding the terms and conditions of faculty appointment. In all cases, the employee or committee member will bear the burden of obtaining and providing to the agency information sufficient to make such determinations.

**The Foreign Gifts and Decorations Act.** Under this statutory provision, Congress has authorized employees, including advisory committee members, to accept items from a foreign government that do not exceed "minimal value" (currently \$375). This figure is adjusted periodically for inflation; agency staff responsible for the committee can provide the most current information on minimal value. Tangible items over minimal value that have been accepted must be turned in to the agency and become Government property. The Act authorizes acceptance of items over minimal value when such items consist of an educational scholarship, medical treatment, or expenses for travel taking place entirely outside the United States (thus, permitting hotel and meal reimbursements in the foreign country, but not airfare for flights originating or terminating in the United States). By statute, Congress has extended to spouses and dependent children of employees the ban on gifts over minimal value; however, they are not covered by the ban on holding titles or positions or from accepting salary or compensation for services performed for a foreign state.

**Foreign Agent Prohibition.** An employee cannot act as an "agent of a foreign principal," as defined by the Foreign Agents Registration Act (FARA), or as a "lobbyist" for a foreign entity required to register under the Lobbying Disclosure Act (LDA). The FARA ban prohibits representation of a foreign government or foreign political party before the United States Government as well as other activities conducted on behalf of foreign entities with respect to influencing the United States Government or public. The FARA contains an exception for activities in furtherance of bona fide religious, scholastic, academic, or scientific pursuits. The LDA ban prohibits lobbying of a covered legislative or executive branch United States official on behalf of certain foreign entities.

Name: Randall J. Bateman Committee Assignment: Advisory Council on Alzheimer's Research, Care and Services  
(or employee title)

Daytime Telephone: (b)(6) Mailing Address: (b)(6)

E-mail Address: batemanr@wustl.edu  
(Optional)

1. Describe any activities you are currently undertaking, or expect to undertake during your tenure on a Federal advisory committee (or as a Federal employee), involving a foreign government, including a foreign public university or government-owned corporation. Such activities include consulting work, receipt of grants or contracts (directly or through your domestic employer), faculty appointments, lectureships, or the holding of an office, title, or position.

If none, check here.

I do not expect any foreign government activity.

2. If any activity described above is with a foreign public university and consists of a faculty appointment, describe whether the university is independent of the foreign government with respect to decisions regarding the terms and conditions of faculty employment. (You may need to consult with a point of contact at the foreign university to obtain such information.)

N/A

3. Describe any tangible or intangible gift, including travel reimbursement or other items of value, that you anticipate that you, your spouse, or your dependent child will receive from a foreign government during your tenure on a Federal advisory committee (or as a Federal employee).

If none, check here.

4. Describe any activities you are currently undertaking, or expect to undertake during your tenure on a Federal advisory committee (or as a Federal employee), that involve (or will involve) lobbying before the United States Government on behalf of a foreign entity, or will involve representation or other activity on behalf of a foreign government, foreign political party, or other foreign entity and rendered with the intent to influence the United States Government or public with respect to the domestic or foreign policies of the United States, or with respect to the interests, policies, or relations of a foreign government or foreign political party.

If none, check here.

I certify that the statements I have made on this form and any attached materials are true, complete, and correct to the best of my knowledge. I understand that there is a continuing obligation to update the information contained herein, and to bring such information to the agency's attention, during my tenure on a Federal advisory committee (or as a Federal employee)

DocuSigned by:

(b)(6)

Signature of Reporting Individual

Date

10/22/2021 | 9:54 AM PDT

**PRIVACY ACT STATEMENT:** This information is requested under the authority of section 301 of title 5, U.S. Code, which authorizes agencies to issue regulations with regard to employment of individuals in the Federal service. Under the Emoluments Clause, U.S. Constitution, article I, § 9, cl. 8, a Federal employee cannot receive any present, emolument, office, or title from a foreign state without the consent of Congress. Under the Foreign Agents Registration Act, 18 U.S.C. § 219, an employee cannot act as an agent of a foreign principal or as a lobbyist on behalf of a foreign entity that is required to register under the Lobbying Disclosure Act. The information disclosed on this form will be used by HHS officials to determine whether an employee or prospective employee, including a special Government employee serving on an advisory committee, is eligible to undertake, or remain, in Federal service. In addition, this information may be used: (1) by an appropriate Federal, state, local, or foreign agency charged with investigating or prosecuting violations of, or implementing, the law, in the event there is an indication of a violation or potential violation of civil, criminal, or regulatory law; (2) by a Federal, state, or local agency maintaining enforcement records or other pertinent records; (3) by Federal agencies with power to subpoena other Federal agencies' records; (4) by private firms with which the Department may contract for purpose of collating, analyzing, aggregating or otherwise refining records; (5) by a Congressional office, pursuant to an inquiry made at the request of the individual who is the subject of the record; and (6) by the Department of Justice in defense of litigation. Although the furnishing of this information is voluntary, failure to provide this information may result in an agency determination that an individual is not eligible to undertake, or to continue, service as a Federal employee, including service as a member of an advisory committee.