

RESOLUTION NO.

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF RIVERSIDE, CALIFORNIA, AMENDING THE CONFLICT OF INTEREST CODE OF THE CITY OF RIVERSIDE FOR CITY EMPLOYEES AND OFFICIALS IN ITS ENTIRETY AND BY REPEALING RESOLUTION NO. 23389 WHICH AMENDMENT IS TO BE EFFECTIVE UPON ADOPTION.

WHEREAS, the Political Reform Act, Government Code Section 81000, et seq., requires state and local government agencies to adopt and promulgate conflict of interest codes; and

WHEREAS, the Fair Political Practices Commission has adopted a regulation, 2 California Code of Regulations Section 18730, which contains the terms of a standard conflict of interest code; and

WHEREAS, such standard terms can be incorporated by reference and may be amended by the Fair Political Practices Commission after public notice and hearings to conform to amendments in the Political Reform Act.

NOW, THEREFORE, BE IT RESOLVED by the City Council of the City of Riverside as follows:

1. The terms of 2 California Code of Regulations Section 18730, a copy of which section is marked Appendix C and attached hereto and made a part hereof by this reference, and any amendments to it duly adopted by the Fair Political Practices Commission are hereby incorporated by reference and, along with the attached Appendices A-1 through A-16, in which employees and officials are designated, and Appendix B, in which disclosure categories are set forth, constitute the conflict of interest code of the City of Riverside for its employees and officials.

2. Designated employees shall file statements of economic interests with the City Clerk.

3. Resolution No. 23389 shall be repealed and shall no longer have legal effect as of the effective date of this resolution.

4. This Resolution shall become effective upon adoption.

1  
2  
3  
4  
5  
6  
7  
8  
9  
10  
11  
12  
13  
14  
15  
16  
17  
18  
19  
20  
21  
22  
23  
24  
25  
26  
27  
28

ADOPTED by the City Council this \_\_\_\_ day of \_\_\_\_\_, 2020.

\_\_\_\_\_  
WILLIAM R. BAILEY, III  
Mayor of the City of Riverside

Attest:

\_\_\_\_\_  
COLLEEN J. NICOL  
City Clerk of the City of Riverside

I, Colleen J. Nicol, City Clerk of the City of Riverside, California, hereby certify that the foregoing resolution was duly and regularly adopted at a meeting of the City Council of said City at its meeting held on the \_\_\_\_ day of \_\_\_\_\_, 2020, by the following vote, to wit:

- Ayes:
- Noes:
- Absent:
- Abstain:
- Disqualified:

IN WITNESS WHEREOF, I have hereunto set my hand and affixed the official seal of the City of Riverside, California, this \_\_\_\_ day of \_\_\_\_\_, 2020.

\_\_\_\_\_  
COLLEEN J. NICOL  
City Clerk of the City of Riverside

APPENDIX A-1

CITY OF RIVERSIDE  
CONFLICT OF INTEREST  
DESIGNATED POSITIONS

CITY ATTORNEY'S OFFICE

<u>Designated Position Title</u>	<u>Disclosure Category</u>
<del>Administrative Services Manager</del>	<del>1</del>
Assistant City Attorney	1
Chief Assistant City Attorney	1
City Attorney	9
Deputy City Attorney I/II	1
<del>Legal Services Manager</del>	<del>1</del>
Paralegal	1
Senior Deputy City Attorney	1
Consultants*	6

Designated employees include person filling the above positions in an acting, temporary, deputy or alternate status to the extent not clearly inapplicable under the provision of this Code.

\*Consultants shall be included in the list of designated employees and shall disclose pursuant to Disclosure Category 6 subject to the following limitation:

The department head may determine in writing that a particular consultant, although a "designated position," is hired to perform a range of duties that is limited in scope and thus is not required to fully comply with the disclosure requirements described in this section. Such 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 department head'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.

1  
2  
3  
4  
5  
6  
7  
8  
9  
10  
11  
12  
13  
14  
15  
16  
17  
18  
19  
20  
21  
22  
23  
24  
25  
26  
27  
28

**APPENDIX A-2**

**CITY OF RIVERSIDE  
CONFLICT OF INTEREST  
DESIGNATED POSITIONS**

**CITY CLERK'S OFFICE**

<b><u>Designated Position Title</u></b>	<b><u>Disclosure Category</u></b>
Assistant City Clerk	1
City Clerk	1
Consultants*	6

Designated employees include person filling the above positions in an acting, temporary, deputy or alternate status to the extent not clearly inapplicable under the provision of this Code.

\*Consultants shall be included in the list of designated employees and shall disclose pursuant to Disclosure Category 6 subject to the following limitation:

The department head may determine in writing that a particular consultant, although a "designated position," is hired to perform a range of duties that is limited in scope and thus is not required to fully comply with the disclosure requirements described in this section. Such 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 department head'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.

APPENDIX A-3

CITY OF RIVERSIDE  
CONFLICT OF INTEREST  
DESIGNATED POSITIONS

CITY COUNCIL

<u>Designated Position Title</u>	<u>Disclosure Category</u>
Council Assistant	1
Members of the City Council**	9
Consultants*	6

Designated employees include person filling the above positions in an acting, temporary, deputy or alternate status to the extent not clearly inapplicable under the provision of this Code.

\*Consultants shall be included in the list of designated employees and shall disclose pursuant to Disclosure Category 6 subject to the following limitation:

The department head may determine in writing that a particular consultant, although a "designated position," is hired to perform a range of duties that is limited in scope and thus is not required to fully comply with the disclosure requirements described in this section. Such 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 department head'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.

\*\*Filing hereunder constitutes filing for all purposes with respect to membership in the Parking, Industrial Development and Economic Development, and Public Financing Authorities.

APPENDIX A-4

CITY OF RIVERSIDE  
CONFLICT OF INTEREST  
DESIGNATED POSITIONS

CITY MANAGER'S OFFICE

<u>Designated Position Title</u>	<u>Disclosure Category</u>
Assistant City Manager	1
City Manager	9
Communications Supervisor	5
Deputy City Manager	1
<del>Intergovernmental Relations Officer</del>	<del>1</del>
Marketing Officer	1
<del>Organizational Performance and Audit Manager</del>	<del>1</del>
Performance Analyst	3
Principal Management Analyst	3
Project Assistant	1
Project Coordinator	1
<del>Project Manager</del>	<del>1</del>
Public Information Officer	1
<del>Senior Performance Analyst</del>	<del>3</del>
<del>Utilities Customer Communications Coordinator</del>	<del>4</del>
Consultants*	6

Designated employees include person filling the above positions in an acting, temporary, deputy or alternate status to the extent not clearly inapplicable under the provision of this Code.

\*Consultants shall be included in the list of designated employees and shall disclose pursuant to Disclosure Category 6 subject to the following limitation:

The department head may determine in writing that a particular consultant, although a "designated position," is hired to perform a range of duties that is limited in scope and thus is not required to fully comply with the disclosure requirements described in this section. Such 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 department head'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.

## APPENDIX A-5

### CITY OF RIVERSIDE CONFLICT OF INTEREST DESIGNATED POSITIONS

#### COMMUNITY AND ECONOMIC DEVELOPMENT DEPARTMENT

<u>Designated Position Title</u>	<u>Disclosure Category</u>
Administrative Analyst	1
<del>Arts and Culture Affairs Manager</del>	<del>1</del>
<del>Arts and Culture Project Assistant</del>	<del>2, 4</del>
<del>Arts and Culture Project Coordinator</del>	<del>2, 4</del>
Assistant Building Official	1
Assistant Planner	1
Associate Planner	1
Building Inspector I	2, 4
Building Inspector II	2, 4
<u>Building Inspection Supervisor</u>	<u>2, 4</u>
Building Official	1
Business System <del>Support</del> Manager <u>I</u>	1
City Planner	1
Code Enforcement Manager	1
Code Enforcement Officer 1 and 2	1
<del>Deputy</del> Community and Economic Development Director	1
Community and Economic Development Director	1
<del>Economic Development Coordinator</del>	<del>1</del>
Economic Development Manager	1
Fiscal Manager	1
Historic Preservation Officer	1
Housing Authority Manager	1
Plan Check Engineer	2, 4
Plans Examiner	2, 4
Principal Planner	1

**COMMUNITY AND ECONOMIC DEVELOPMENT DEPARTMENT (Continued)**

<b><u>Designated Position Title</u></b>	<b><u>Disclosure Category</u></b>
Principal Project Manager	1
Project Assistant	1
Project Coordinator	1
Project Manager	1
Real Property Agent	2, 5
Senior Administrative Analyst	2, 4
Senior Building Inspector	2, 4
Senior Code Enforcement Officer	1
Senior Plan Check Engineer	2, 4
Senior Planner	1
Senior Plans Examiner	2, 4
Senior Project Manager	1
Supervising Real Property Agent	2, 5
Consultants*	6

Designated employees include person filling the above positions in an acting, temporary, deputy or alternate status to the extent not clearly inapplicable under the provision of this Code.

\*Consultants shall be included in the list of designated employees and shall disclose pursuant to Disclosure Category 6 subject to the following limitation:

The department head may determine in writing that a particular consultant, although a "designated position," is hired to perform a range of duties that is limited in scope and thus is not required to fully comply with the disclosure requirements described in this section. Such 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 department head'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.



APPENDIX A-6

CITY OF RIVERSIDE  
CONFLICT OF INTEREST  
DESIGNATED POSITIONS

FINANCE

<u>Designated Position Title</u>	<u>Disclosure Category</u>
<u>Accounting Manager/Controller</u>	<u>1</u>
Assistant Chief Financial Officer	1
<u>Assistant Controller</u>	<u>1</u>
Budget and Revenue Manager	1
Business Tax Inspector	3
Business Tax/Collections Supervisor	3
Chief Financial Officer/City Treasurer	9
Collection Representative I and II	3
<u>Controller/Deputy Treasurer</u>	<u>1</u>
<u>Debt Manager</u>	<u>1</u>
Principal Accountant	3
Principal Analyst	3
Principal Management Analyst	3
Procurement and Contract Specialist	3
Purchasing Manager	1
Risk Manager	1
Senior Business Tax Representative	3
Senior Procurement and Contract Specialist	3
Treasury Supervisor	3
Consultants*	6

Designated employees include person filling the above positions in an acting, temporary, deputy or alternate status to the extent not clearly inapplicable under the provision of this Code.

\*Consultants shall be included in the list of designated employees and shall disclose pursuant to Disclosure Category 6 subject to the following limitation:

The department head may determine in writing that a particular consultant, although a “designated position,” is hired to perform a range of duties that is limited in scope and thus is not required to fully comply with the disclosure requirements described in this section. Such 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 department head’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.

APPENDIX A-7

CITY OF RIVERSIDE  
CONFLICT OF INTEREST  
DESIGNATED POSITIONS

FIRE DEPARTMENT

<u>Designated Position Title</u>	<u>Disclosure Category</u>
<u>Administrative Analyst</u>	<u>1</u>
Administrative Services Manager	2, 4
Deputy Fire Chief	1
Deputy Fire Marshal	2, 4
Emergency Medical Services Coordinator	2, 4
Emergency Services Administrator	5
Emergency Services Coordinator	5
Fire Battalion Chief	2, 4
Fire Captain (Day Assignment)	2, 4
Fire Chief	1
Fire Marshal	2, 4
Fire Plan Check Engineer	2, 4
Fire Safety Inspector I, II	2, 4
<u>Management Analyst</u>	<u>2, 4</u>
Public Education Specialist	2, 4
<u>Senior Administrative Analyst</u>	<u>1</u>
Senior Fire Safety Inspector	2, 4
Consultants*	6

Designated employees include person filling the above positions in an acting, temporary, deputy or alternate status to the extent not clearly inapplicable under the provision of this Code.

\*Consultants shall be included in the list of designated employees and shall disclose pursuant to Disclosure Category 6 subject to the following limitation:

The department head may determine in writing that a particular consultant, although a "designated position," is hired to perform a range of duties that is limited in scope and thus is not required to fully comply with the disclosure requirements described in this section. Such 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 department head'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.

APPENDIX A-8

CITY OF RIVERSIDE  
CONFLICT OF INTEREST  
DESIGNATED POSITIONS

GENERAL SERVICES DEPARTMENT

<u>Designated Position Title</u>	<u>Disclosure Category</u>
Administrative Analyst	2, 4
<del>Administrative Services Manager</del>	<del>2, 5</del>
Airport Manager	2, 5
Airport Operations Coordinator	2, 4
<del>Assistant General Services Director</del>	<del>1</del>
Building Services Project Manager	5
Deputy General Services Director	2, 5
Fleet Management Supervisors	5
Fleet Operations Manager	5
General Services Director	1
General Services Operations Superintendent	2, 5
<del>Management Analyst</del>	<del>2, 4</del>
<u>Police Fleet Maintenance Coordinator</u>	<u>5</u>
<del>Project Assistant</del>	<del>5</del>
Project Manager	5
Real Property Agent	2, 5
Senior Project Manager	5
Consultants*	6

Designated employees include person filling the above positions in an acting, temporary, deputy or alternate status to the extent not clearly inapplicable under the provision of this Code.

\*Consultants shall be included in the list of designated employees and shall disclose pursuant to Disclosure Category 6 subject to the following limitation:

The department head may determine in writing that a particular consultant, although a "designated position," is hired to perform a range of duties that is limited in scope and thus is not required to fully comply with the disclosure requirements described in this section. Such 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 department head'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.

APPENDIX A-9

CITY OF RIVERSIDE  
CONFLICT OF INTEREST  
DESIGNATED POSITIONS

HUMAN RESOURCES DEPARTMENT

<u>Designated Position Title</u>	<u>Disclosure Category</u>
Business Systems Support Manager	4
Deputy Human Resources Director	4
Employee Relations Officer	4
Human Resources Director	1
Principal Human Resources Analyst	4
Safety Officer	4
<u>Senior Administrative Analyst</u>	<u>4</u>
Senior Claims Administrator	4
Senior Human Resources Analyst	4
Workers Compensation Supervisor	4
Consultants*	6

Designated employees include person filling the above positions in an acting, temporary, deputy or alternate status to the extent not clearly inapplicable under the provision of this Code.

\*Consultants shall be included in the list of designated employees and shall disclose pursuant to Disclosure Category 6 subject to the following limitation:

The department head may determine in writing that a particular consultant, although a "designated position," is hired to perform a range of duties that is limited in scope and thus is not required to fully comply with the disclosure requirements described in this section. Such 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 department head'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.

APPENDIX A-10

CITY OF RIVERSIDE  
CONFLICT OF INTEREST  
DESIGNATED POSITIONS

INNOVATION AND TECHNOLOGY DEPARTMENT

<u>Designated Position Title</u>	<u>Disclosure Category</u>
Administrative Services Manager	1
Business Systems <del>Support</del> Manager <u>1</u>	1
Chief Innovation Officer	1
Deputy Chief Innovation Officer	1
Information Security Officer	1
Innovation and Technology Officer I/II	1
Senior Administrative Analyst	4
Systems Manager	1
Consultants*	6

Designated employees include person filling the above positions in an acting, temporary, deputy or alternate status to the extent not clearly inapplicable under the provision of this Code.

\*Consultants shall be included in the list of designated employees and shall disclose pursuant to Disclosure Category 6 subject to the following limitation:

The department head may determine in writing that a particular consultant, although a "designated position," is hired to perform a range of duties that is limited in scope and thus is not required to fully comply with the disclosure requirements described in this section. Such 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 department head'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.

1  
2  
3  
4  
5  
6  
7  
8  
9  
10  
11  
12  
13  
14  
15  
16  
17  
18  
19  
20  
21  
22  
23  
24  
25  
26  
27  
28

**APPENDIX A-11**

**CITY OF RIVERSIDE  
CONFLICT OF INTEREST  
DESIGNATED POSITIONS**

**LIBRARY DEPARTMENT**

<b><u>Designated Position Title</u></b>	<b><u>Disclosure Category</u></b>
Administrative Services Manager	4
Assistant Library Director	1
<u>Digital Systems Specialist</u>	<u>4</u>
Library Director	1
Senior Management Analyst	3
Consultants*	6

Designated employees include person filling the above positions in an acting, temporary, deputy or alternate status to the extent not clearly inapplicable under the provision of this Code.

\*Consultants shall be included in the list of designated employees and shall disclose pursuant to Disclosure Category 6 subject to the following limitation:

The department head may determine in writing that a particular consultant, although a “designated position,” is hired to perform a range of duties that is limited in scope and thus is not required to fully comply with the disclosure requirements described in this section. Such 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 department head’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.

1  
2  
3  
4  
5  
6  
7  
8  
9  
10  
11  
12  
13  
14  
15  
16  
17  
18  
19  
20  
21  
22  
23  
24  
25  
26  
27  
28

**APPENDIX A-12**

**CITY OF RIVERSIDE  
CONFLICT OF INTEREST  
DESIGNATED POSITIONS**

**MAYOR**

<b><u>Designated Position Title</u></b>	<b><u>Disclosure Category</u></b>
Assistant to the Mayor	1
Chief of Staff to the Mayor	1
International Affairs and Protocol Officer	1
Mayor**	9
Consultants*	6

Designated employees include person filling the above positions in an acting, temporary, deputy or alternate status to the extent not clearly inapplicable under the provision of this Code.

\*Consultants shall be included in the list of designated employees and shall disclose pursuant to Disclosure Category 6 subject to the following limitation:

The department head may determine in writing that a particular consultant, although a "designated position," is hired to perform a range of duties that is limited in scope and thus is not required to fully comply with the disclosure requirements described in this section. Such 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 department head'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.

\*\*Filing hereunder constitutes filing for all purposes with respect to membership in the Parking, Industrial Development and Economic Development, and Public Financing Authorities.



APPENDIX A-13

CITY OF RIVERSIDE  
CONFLICT OF INTEREST  
DESIGNATED POSITIONS

MUSEUM DEPARTMENT

<u>Designated Position Title</u>	<u>Disclosure Category</u>
Administrative Services Manager	1
Archivist	2, 4
<del>Curator of Collections</del> <u>Curator Registrar</u>	2, 4
<u>Curatorial Services Manager</u>	<u>1</u>
Museum Curator	2, 4
Museum Director	1
Senior Museum Curator	1
Consultants*	6

Designated employees include person filling the above positions in an acting, temporary, deputy or alternate status to the extent not clearly inapplicable under the provision of this Code.

\*Consultants shall be included in the list of designated employees and shall disclose pursuant to Disclosure Category 6 subject to the following limitation:

The department head may determine in writing that a particular consultant, although a “designated position,” is hired to perform a range of duties that is limited in scope and thus is not required to fully comply with the disclosure requirements described in this section. Such 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 department head’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.

APPENDIX A-14

CITY OF RIVERSIDE  
CONFLICT OF INTEREST  
DESIGNATED POSITIONS

PARKS, RECREATION, AND COMMUNITY SERVICES

<u>Designated Position Title</u>	<u>Disclosure Category</u>
Administrative Analyst	4
<u>Administrative Services Manager</u>	<u>2, 4</u>
Deputy Parks, Recreation, and Community Services Director	1
<u>Management Analyst</u>	<u>4</u>
Park Superintendent	2, 4
Parks, Recreation, and Community Services Director	1
<u>Principal Park Planner</u>	<u>2, 4</u>
<u>Principal Project Manager</u>	<u>2, 4</u>
Project Manager	2, 4
<u>Recreation Superintendent</u>	<u>2, 4</u>
Senior Administrative Analyst	2, 4
Senior Management Analyst	2, 4
<u>Senior Park Planner</u>	<u>2, 4</u>
Special Transit Supervisor	4
<u>Trails Coordinator</u>	<u>2, 4</u>
Consultants*	6

Designated employees include person filling the above positions in an acting, temporary, deputy or alternate status to the extent not clearly inapplicable under the provision of this Code.

\*Consultants shall be included in the list of designated employees and shall disclose pursuant to Disclosure Category 6 subject to the following limitation:

The department head may determine in writing that a particular consultant, although a “designated position,” is hired to perform a range of duties that is limited in scope and thus is not required to fully comply with the disclosure requirements described in this section. Such 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 department head’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.

APPENDIX A-15

CITY OF RIVERSIDE  
CONFLICT OF INTEREST  
DESIGNATED POSITIONS

POLICE DEPARTMENT

<u>Designated Position Title</u>	<u>Disclosure Category</u>
Administrative Analyst— <del>Accounting</del>	<del>14</del>
Aviation Sergeant	<del>2</del> , 4
<del>Aviation Unit Supervisor (Lieutenant)</del>	<del>5</del>
Chief of Police	1
Deputy Police Chief	1
<del>Lieutenant</del>	<del>4</del>
<del>Lieutenant—Community Policing</del>	<del>5</del>
<del>Lieutenant—Executive</del>	<del>5</del>
<del>Lieutenant—Investigations</del>	<del>5</del>
<del>Lieutenant—Personnel and Training</del>	<del>5</del>
<del>Lieutenant—Traffic</del>	<del>5</del>
Police Administrator	1
Police Captain	<del>14</del>
Police Communications System Analyst	<del>2</del> , 4
<del>Police Fleet Maintenance Coordinator</del>	<del>5</del>
<del>Police Program Coordinator</del>	<del>4</del>
Police Records and Information Systems Manager	<del>2</del> , 4
<del>Police Records Systems Analyst</del>	<del>4</del>
<del>Principal Management Analyst</del>	<del>1</del>
<del>Senior Accountant</del>	<del>4</del>
<del>Senior Administrative Analyst</del>	<del>4</del>
Senior Helicopter Mechanic	<del>2</del> , 4
Senior Management Analyst	<del>14</del>
<del>Senior Programmer Analyst</del>	<del>4</del>
<del>Supervising Crime Analyst</del>	<del>4</del>

Consultants\*

6

Designated employees include person filling the above positions in an acting, temporary, deputy or alternate status to the extent not clearly inapplicable under the provision of this Code.

\*Consultants shall be included in the list of designated employees and shall disclose pursuant to Disclosure Category 6 subject to the following limitation:

The department head may determine in writing that a particular consultant, although a "designated position," is hired to perform a range of duties that is limited in scope and thus is not required to fully comply with the disclosure requirements described in this section. Such 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 department head'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.

APPENDIX A-16

CITY OF RIVERSIDE  
CONFLICT OF INTEREST  
DESIGNATED POSITIONS

PUBLIC UTILITIES DEPARTMENT

<u>Designated Position Title</u>	<u>Disclosure Category</u>
Administrative Analyst	4
<del>Administrative Services Manager</del>	<del>4</del>
<del>Business Systems Support Manager</del>	<del>4</del>
Construction Contracts Administrator	4
Construction Inspector I and II	4
Engineering Manager	1
<del>Human Resources Analyst</del>	<del>4</del>
<del>Management Analyst</del>	<del>4</del>
Principal Management Analyst	4
Project Manager	4
<del>Public Information Officer Relations</del>	<del>4</del>
SCADA System Supervisor	4
Senior Accountant	4
Senior Accounting Technician	4
Senior Administrative Analyst	4
Senior Business Systems Support Analyst	4
Senior Plan Check Engineer	4
Senior Programmer Analyst (SCADA)	4
Senior Project Manager	4
Utilities Analyst	4
Utilities Assistant Chief Financial Officer	1
<del>Utilities Assistant General Manager</del>	<del>1</del>
Utilities Assistant General Manager/Energy Delivery	1
Utilities Assistant General Manager/Finance/and Administration	1
Utilities Assistant General Manager/Marketing and Customer	1

**PUBLIC UTILITIES DEPARTMENT (continued)**

<b><u>Designated Position Title</u></b>	<b><u>Disclosure Category</u></b>
Utilities Assistant General Manager/Operational Technology	1
Utilities Assistant General Manager/Resources	1
Utilities Assistant General Manager/Water Delivery	1
Utilities Assistant Water Superintendent	4
Utilities Chief Water Systems Operator	4
Utilities Customer Communications Coordinator	4
<del>Utilities Customer Relations Coordinator</del>	<del>4</del>
Utilities Customer Service Manager	4
Utilities Customer Service Supervisor	4
Utilities Dispatch Superintendent	4
Utilities Dispatch Supervisor	4
<del>Utilities Electric Field Manager</del>	<del>4</del>
Utilities Electric Operations Manager	4
Utilities Electric Superintendent	4
Utilities Electric Supervisor	4
Utilities Electrical Engineering Manager	1
Utilities Energy Risk Manager	1
<del>Utilities Energy Transaction Analyst</del>	<del>4</del>
Utilities Field Services Manager	4
Utilities Fiscal Manager	4
Utilities General Manager	1
Utilities Generation Manager	4
Utilities Generation Operations and Maintenance Supervisor	4
Utilities Generation Plant Manager	4
Utilities Landscape and Maintenance Contract Administrator	4
Utilities Power Marketer	4
Utilities Power Resources Manager	4
Utilities Power Scheduler/Trader	4
Utilities Principal Analyst	4

**PUBLIC UTILITIES DEPARTMENT (continued)**

<b><u>Designated Position Title</u></b>	<b><u>Disclosure Category</u></b>
<del>Utilities Principal Engineer</del>	<del>4</del>
Utilities Principal Programs and Service Representative	4
Utilities Principal Resource Analyst	4
Utilities Projects/Contracts Manager	1
Utilities Public Benefit/Customer Relations Manager	4
Utilities Resources Analyst	4
Utilities Safety and Training Manager	4
Utilities Senior Analyst	4
Utilities Senior Electric Meter Technician	4
Utilities Senior Electrical Engineer	4
<del>Utilities Senior Energy Transaction Analyst</del>	<del>4</del>
Utilities Senior Resource Analyst	4
Utilities Senior Water Engineer	4
Utilities Substation Construction/Maintenance Supervisor	4
Utilities Substation Test Supervisor	4
Utilities Supervising Engineering Technician	4
Utilities Water Operations and Maintenance Supervisor	4
Utilities Water Superintendent	4
Utilities Water Supervisor	4
Utilities Water Systems Operations Manager	1
Consultants*	6

Designated employees include person filling the above positions in an acting, temporary, deputy or alternate status to the extent not clearly inapplicable under the provision of this Code.

\*Consultants shall be included in the list of designated employees and shall disclose pursuant to Disclosure Category 6 subject to the following limitation:

The department head may determine in writing that a particular consultant, although a "designated position," is hired to perform a range of duties that is limited in scope and thus is not required to fully comply with the disclosure requirements described in this section. Such 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 department head'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.

APPENDIX A-17

CITY OF RIVERSIDE  
CONFLICT OF INTEREST  
DESIGNATED POSITIONS

PUBLIC WORKS DEPARTMENT

<u>Designated Position Title</u>	<u>Disclosure Category</u>
Administrative Analyst	1
<del>Administrative Services Manager</del>	<del>1</del>
Chief Construction Inspector	1
City Traffic Engineer	1
Construction Contracts Administrator	1
Construction Inspector I, II	1
Construction Project Manager	1
Deputy Public Works Director - City Engineer	1
Deputy Public Works Director - Field Operations	1
Deputy Public Works Director - Wastewater Systems	1
Emergency Services Coordinator	1
Engineering Manager	1
Environmental Compliance Inspector I, II	1
Environmental Compliance Supervisor	1
Environmental Service Coordinator	1
Field Services Operations Manager	1
Fiscal Manager	1
Laboratory Supervisor	1
Landscape Maintenance Inspector	1
Plan Check Engineer	1
Principal Engineer	1
Principal Management Analyst	1
Public Parking Services Manager	1
Public Works Director	1
Safety Officer	1



**PUBLIC WORKS DEPARTMENT (continued)**

<b><u>Designated Position Title</u></b>	<b><u>Disclosure Category</u></b>
SCADA System Supervisor	1
Senior Administrative Analyst	1
Senior Construction Inspector	1
Senior Engineer	1
Senior Environmental Compliance Inspector	1
Senior Field Services Operations Manager	1
Senior Traffic Engineer	1
Surveyor	1
Systems Analyst	1
Traffic Signal Maintenance Supervisor	1
Tree Maintenance Inspector	1
Urban Forester Manager	1
Wastewater Collections System Scheduler	1
Wastewater Electrical Supervisor	1
Wastewater Maintenance Scheduler	1
Wastewater Mechanical Supervisor	1
Wastewater Operations Manager	1
Wastewater Operations Superintendent	1
Wastewater Plant Supervisor	1
Wastewater Resources Analyst	1
Consultants*	6

Designated employees include person filling the above positions in an acting, temporary, deputy or alternate status to the extent not clearly inapplicable under the provision of this Code.

\*Consultants shall be included in the list of designated employees and shall disclose pursuant to Disclosure Category 6 subject to the following limitation:

The department head may determine in writing that a particular consultant, although a "designated position," is hired to perform a range of duties that is limited in scope and thus is not required to fully comply with the disclosure requirements described in this section. Such 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 department head'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.

## **APPENDIX B DISCLOSURE CATEGORIES**

### **Broad Disclosure**

1. Must report investments, business positions, and income from sources located in, planning to do business in, or doing business in the City of Riverside; and

Interests in real property located in the City of Riverside and also within a two mile radius of any property owned or used by the City of Riverside which is not within the City limits.

### **Real Property Disclosure**

2. Must report interests in real property located in the City of Riverside and also within a two mile radius of any property owned or used by the City of Riverside which is not within the City limits.

### **Financial Interest Disclosure**

3. Must report investments, business positions, and income from sources located in, planning to do business in, or doing business in the City of Riverside.

### **Disclosure Based on Department**

4. Must report investments, business positions, and income from business entities located in, planning to do business in, or doing business with the City of Riverside subject to the following: no financial interest need be reported unless it is in or from a source which provides services, supplies, material, machinery or equipment of the type utilized by or which is subject to the regulatory permit or licensing authority of the department which filer is employed.

### **Disclosure Based on Position**

5. Must report investments, business positions, and income from business entities located in, planning to do business in, or doing business with the City of Riverside subject to the following: no financial interest need be reported unless it is in or from a source which provides services, supplies, material, machinery or equipment of the type utilized by or which is subject to the regulatory permit or licensing authority of the position which the filer currently fills.

### **Consultant Disclosure**

6. Must report investments, business positions, and income from business entities located in, planning to do business in, or doing business with the City of Riverside subject to the following: no financial interest need be reported unless it is in or from a source which provides services, supplies, material, machinery or equipment of the type utilized by or which is subject to the regulatory permit or licensing authority of the department by which the consultant is employed.

### **Disclosure Based on Board and Commission Membership**

7. Must report investments, business positions, and income from business entities located in, planning to do business in, or doing business with the City of Riverside subject to the following: no financial interest need be reported unless it is in or from a source which provides services, supplies, material, machinery or equipment of the type utilized by or which is subject to the regulatory permit or licensing authority of the department with which filer's board or commission is associated.

### **No Disclosure**

8. Need not file Statement of Economic Interest as members are not deemed to be designated positions.

### **State Filers**

9. Need not file an additional Statement of Economic Interests under this code as their filing with the Fair Political Practices Commission fulfills reporting requirements. They are included in this code only for disqualification purposes.

\*Nothing contained in this conflict of interest code shall be interpreted to require the reporting of gifts from outside the City of Riverside's jurisdiction if the purpose of disclosure of the source of the gift does not have some connection with or bearing upon the functions or duties of the position for which the reporting is required. Nothing in this language is intended to create an inference that all gifts within the jurisdiction are reportable. (2 California Code of Regulations section 18730.1).

**APPENDIX C**  
**CITY EMPLOYEES AND OFFICIALS**

1  
2  
3  
4  
5  
6  
7  
8  
9  
10  
11  
12  
13  
14  
15  
16  
17  
18  
19  
20  
21  
22  
23  
24  
25  
26  
27

(Regulations of the Fair Political Practices Commission, Title 2, Division 6, California Code of Regulations.)

**§ 18730. Provisions of Conflict of Interest Codes.**

(a) Incorporation by reference of the terms of this regulation along with the designation of employees and the formulation of disclosure categories in the Appendix referred to below constitute the adoption and promulgation of a conflict of interest code within the meaning of Section 87300 or the amendment of a conflict of interest code within the meaning of Section 87306 if the terms of this regulation are substituted for terms of a conflict of interest code already in effect. A code so amended or adopted and promulgated requires the reporting of reportable items in a manner substantially equivalent to the requirements of article 2 of chapter 7 of the Political Reform Act, Sections 81000, et seq. The requirements of a conflict of interest code are in addition to other requirements of the Political Reform Act, such as the general prohibition against conflicts of interest contained in Section 87100, and to other state or local laws pertaining to conflicts of interest.

(b) The terms of a conflict of interest code amended or adopted and promulgated pursuant to this regulation are as follows:

(1) Section 1. Definitions.

The definitions contained in the Political Reform Act of 1974, regulations of the Fair Political Practices Commission (Regulations 18110, et seq.), and any amendments to the Act or regulations, are incorporated by reference into this conflict of interest code.

(2) Section 2. Designated Employees.

The persons holding positions listed in the Appendix are designated employees. It has been determined that these persons make or participate in the making of decisions which may foreseeably have a material effect on economic interests.

(3) Section 3. Disclosure Categories.

This code does not establish any disclosure obligation for those designated employees who are also specified in Section 87200 if they are designated in this code in that same capacity or if the geographical jurisdiction of this agency is the same as or is wholly included within the jurisdiction in which those persons must report their economic interests pursuant to article 2 of chapter 7 of the Political Reform Act, Sections 87200, et seq.

In addition, this code does not establish any disclosure obligation for any designated employees who are designated in a conflict of interest code for another agency, if all of the following apply:

(A) The geographical jurisdiction of this agency is the same as or is wholly included within the jurisdiction of the other agency;

(B) The disclosure assigned in the code of the other agency is the same as that required under article 2 of chapter 7 of the Political Reform Act, Section 87200; and

(C) The filing officer is the same for both agencies.<sup>1</sup>

Such persons are covered by this code for disqualification purposes only. With respect to all other designated employees, the disclosure categories set forth in the Appendix specify which kinds of economic interests are reportable. Such a designated employee shall disclose in his or her statement of economic interests those economic interests he or she has which are of the kind described in the disclosure categories to which he or she is assigned in the Appendix. It has been determined that the economic interests set forth in a designated employee's disclosure categories

are the kinds of economic interests which he or she foreseeably can affect materially through the conduct of his or her office.

(4) Section 4. Statements of Economic Interests: Place of Filing.

The code reviewing body shall instruct all designated employees within its code to file statements of economic interests with the agency or with the code reviewing body, as provided by the code reviewing body in the agency's conflict of interest code.<sup>2</sup>

(5) Section 5. Statements of Economic Interests: Time of Filing.

(A) Initial Statements. All designated employees employed by the agency on the effective date of this code, as originally adopted, promulgated and approved by the code reviewing body, shall file statements within 30 days after the effective date of this code. Thereafter, each person already in a position when it is designated by an amendment to this code shall file an initial statement within 30 days after the effective date of the amendment.

(B) Assuming Office Statements. All persons assuming designated positions after the effective date of this code shall file statements within 30 days after assuming the designated positions, or if subject to State Senate confirmation, 30 days after being nominated or appointed.

(C) Annual Statements. All designated employees shall file statements no later than April 1. If a person reports for military service as defined in the Servicemember's Civil Relief Act, the deadline for the annual statement of economic interests is 30 days following his or her return to office, provided the person, or someone authorized to represent the person's interests, notifies the filing officer in writing prior to the applicable filing deadline that he or she is subject to that federal statute and is unable to meet the applicable deadline, and provides the filing officer verification of his or her military status.

(D) Leaving Office Statements. All persons who leave designated positions shall file statements within 30 days after leaving office.

(5.5) Section 5.5. Statements for Persons Who Resign Prior to Assuming Office.

Any person who resigns within 12 months of initial appointment, or within 30 days of the date of notice provided by the filing officer to file an assuming office statement, is not deemed to have assumed office or left office, provided he or she did not make or participate in the making of, or use his or her position to influence any decision and did not receive or become entitled to receive any form of payment as a result of his or her appointment. Such persons shall not file either an assuming or leaving office statement.

(A) Any person who resigns a position within 30 days of the date of a notice from the filing officer shall do both of the following:

(1) File a written resignation with the appointing power; and

(2) File a written statement with the filing officer declaring under penalty of perjury that during the period between appointment and resignation he or she did not make, participate in the making, or use the position to influence any decision of the agency or receive, or become entitled to receive, any form of payment by virtue of being appointed to the position.

(6) Section 6. Contents of and Period Covered by Statements of Economic Interests.

(A) Contents of Initial Statements.

Initial statements shall disclose any reportable investments, interests in real property and business positions held on the effective date of the code and income received during the 12 months prior to the effective date of the code.

(B) Contents of Assuming Office Statements.



Assuming office statements shall disclose any reportable investments, interests in real property and business positions held on the date of assuming office or, if subject to State Senate confirmation or appointment, on the date of nomination, and income received during the 12 months prior to the date of assuming office or the date of being appointed or nominated, respectively.

(C) Contents of Annual Statements. Annual statements shall disclose any reportable investments, interests in real property, income and business positions held or received during the previous calendar year provided, however, that the period covered by an employee's first annual statement shall begin on the effective date of the code or the date of assuming office whichever is later, or for a board or commission member subject to Section 87302.6, the day after the closing date of the most recent statement filed by the member pursuant to Regulation 18754.

(D) Contents of Leaving Office Statements.

Leaving office statements shall disclose reportable investments, interests in real property, income and business positions held or received during the period between the closing date of the last statement filed and the date of leaving office.

(7) Section 7. Manner of Reporting.

Statements of economic interests shall be made on forms prescribed by the Fair Political Practices Commission and supplied by the agency, and shall contain the following information:

(A) Investment and Real Property Disclosure.

When an investment or an interest in real property<sup>3</sup> is required to be reported,<sup>4</sup> the statement shall contain the following:

1. A statement of the nature of the investment or interest;

2. The name of the business entity in which each investment is held, and a general description of the business activity in which the business entity is engaged;
3. The address or other precise location of the real property;
4. A statement whether the fair market value of the investment or interest in real property equals or exceeds \$2,000, exceeds \$10,000, exceeds \$100,000, or exceeds \$1,000,000.

(B) Personal Income Disclosure. When personal income is required to be reported,<sup>5</sup> the statement shall contain:

1. The name and address of each source of income aggregating \$500 or more in value, or \$50 or more in value if the income was a gift, and a general description of the business activity, if any, of each source;
2. A statement whether the aggregate value of income from each source, or in the case of a loan, the highest amount owed to each source, was \$1,000 or less, greater than \$1,000, greater than \$10,000, or greater than \$100,000;
3. A description of the consideration, if any, for which the income was received;
4. In the case of a gift, the name, address and business activity of the donor and any intermediary through which the gift was made; a description of the gift; the amount or value of the gift; and the date on which the gift was received;
5. In the case of a loan, the annual interest rate and the security, if any, given for the loan and the term of the loan.

(C) Business Entity Income Disclosure. When income of a business entity, including income of a sole proprietorship, is required to be reported,<sup>6</sup> the statement shall contain:

1. The name, address, and a general description of the business activity of the business entity;

2. The name of every person from whom the business entity received payments if the filer's pro rata share of gross receipts from such person was equal to or greater than \$10,000.

(D) Business Position Disclosure. When business positions are required to be reported, a designated employee shall list the name and address of each business entity in which he or she is a director, officer, partner, trustee, employee, or in which he or she holds any position of management, a description of the business activity in which the business entity is engaged, and the designated employee's position with the business entity.

(E) Acquisition or Disposal During Reporting Period. In the case of an annual or leaving office statement, if an investment or an interest in real property was partially or wholly acquired or disposed of during the period covered by the statement, the statement shall contain the date of acquisition or disposal.

(8) Section 8. Prohibition on Receipt of Honoraria.

(A) No member of a state board or commission, and no designated employee of a state or local government agency, shall accept any honorarium from any source, if the member or employee would be required to report the receipt of income or gifts from that source on his or her statement of economic interests.

(B) This section shall not apply to any part-time member of the governing board of any public institution of higher education, unless the member is also an elected official.

(C) Subdivisions (a), (b), and (c) of Section 89501 shall apply to the prohibitions in this section.

(D) This section shall not limit or prohibit payments, advances, or reimbursements for travel and related lodging and subsistence authorized by Section 89506.

(8.1) Section 8.1. Prohibition on Receipt of Gifts in Excess of \$500.

(A) No member of a state board or commission, and no designated employee of a state or local government agency, shall accept gifts with a total value of more than \$500 in a calendar year from any single source, if the member or employee would be required to report the receipt of income or gifts from that source on his or her statement of economic interests.

(B) This section shall not apply to any part-time member of the governing board of any public institution of higher education, unless the member is also an elected official.

(C) Subdivisions (e), (f), and (g) of Section 89503 shall apply to the prohibitions in this section.

(8.2) Section 8.2. Loans to Public Officials.

(A) No elected officer of a state or local government agency shall, from the date of his or her election to office through the date that he or she vacates office, receive a personal loan from any officer, employee, member, or consultant of the state or local government agency in which the elected officer holds office or over which the elected officer's agency has direction and control.

(B) No public official who is exempt from the state civil service system pursuant to subdivisions (c), (d), (e), (f), and (g) of Section 4 of Article VII of the Constitution shall, while he or she holds office, receive a personal loan from any officer, employee, member, or consultant of the state or local government agency in which the public official holds office or over which the public official's agency has direction and control. This subdivision shall not apply to loans made to a public official whose duties are solely secretarial, clerical, or manual.

(C) No elected officer of a state or local government agency shall, from the date of his or her election to office through the date that he or she vacates office, receive a personal loan from any person who has a contract with the state or local government agency to which that elected

officer has been elected or over which that elected officer's agency has direction and control.

This subdivision shall not apply to loans made by banks or other financial institutions or to any indebtedness created as part of a retail installment or credit card transaction, if the loan is made or the indebtedness created in the lender's regular course of business on terms available to members of the public without regard to the elected officer's official status.

(D) No public official who is exempt from the state civil service system pursuant to subdivisions (c), (d), (e), (f), and (g) of Section 4 of Article VII of the Constitution shall, while he or she holds office, receive a personal loan from any person who has a contract with the state or local government agency to which that elected officer has been elected or over which that elected officer's agency has direction and control. This subdivision shall not apply to loans made by banks or other financial institutions or to any indebtedness created as part of a retail installment or credit card transaction, if the loan is made or the indebtedness created in the lender's regular course of business on terms available to members of the public without regard to the elected officer's official status. This subdivision shall not apply to loans made to a public official whose duties are solely secretarial, clerical, or manual.

(E) This section shall not apply to the following:

1. Loans made to the campaign committee of an elected officer or candidate for elective office.

2. Loans made by a public official's spouse, child, parent, grandparent, grandchild, brother, sister, parent-in-law, brother-in-law, sister-in-law, nephew, niece, aunt, uncle, or first cousin, or the spouse of any such persons, provided that the person making the loan is not acting as an agent or intermediary for any person not otherwise exempted under this section.

3. Loans from a person which, in the aggregate, do not exceed \$500 at any given time.

4. Loans made, or offered in writing, before January 1, 1998.

(8.3) Section 8.3. Loan Terms.

(A) Except as set forth in subdivision (B), no elected officer of a state or local government agency shall, from the date of his or her election to office through the date he or she vacates office, receive a personal loan of \$500 or more, except when the loan is in writing and clearly states the terms of the loan, including the parties to the loan agreement, date of the loan, amount of the loan, term of the loan, date or dates when payments shall be due on the loan and the amount of the payments, and the rate of interest paid on the loan.

(B) This section shall not apply to the following types of loans:

1. Loans made to the campaign committee of the elected officer.

2. Loans made to the elected officer by his or her spouse, child, parent, grandparent, grandchild, brother, sister, parent-in-law, brother-in-law, sister-in-law, nephew, niece, aunt, uncle, or first cousin, or the spouse of any such person, provided that the person making the loan is not acting as an agent or intermediary for any person not otherwise exempted under this section.

3. Loans made, or offered in writing, before January 1, 1998.

(C) Nothing in this section shall exempt any person from any other provision of Title 9 of the Government Code.

(8.4) Section 8.4. Personal Loans.

(A) Except as set forth in subdivision (B), a personal loan received by any designated employee shall become a gift to the designated employee for the purposes of this section in the following circumstances:

1. If the loan has a defined date or dates for repayment, when the statute of limitations for filing an action for default has expired.

2. If the loan has no defined date or dates for repayment, when one year has elapsed from the later of the following:

- a. The date the loan was made.
- b. The date the last payment of \$100 or more was made on the loan.
- c. The date upon which the debtor has made payments on the loan aggregating to less than \$250 during the previous 12 months.

(B) This section shall not apply to the following types of loans:

- 1. A loan made to the campaign committee of an elected officer or a candidate for elective office.
- 2. A loan that would otherwise not be a gift as defined in this title.
- 3. A loan that would otherwise be a gift as set forth under subdivision (A), but on which the creditor has taken reasonable action to collect the balance due.
- 4. A loan that would otherwise be a gift as set forth under subdivision (A), but on which the creditor, based on reasonable business considerations, has not undertaken collection action. Except in a criminal action, a creditor who claims that a loan is not a gift on the basis of this paragraph has the burden of proving that the decision for not taking collection action was based on reasonable business considerations.
- 5. A loan made to a debtor who has filed for bankruptcy and the loan is ultimately discharged in bankruptcy.

(C) Nothing in this section shall exempt any person from any other provisions of Title 9 of the Government Code.

(9) Section 9. Disqualification.

No designated employee shall make, participate in making, or in any way attempt to use his or her official position to influence the making of any governmental decision which he or she knows or has reason to know will have a reasonably foreseeable material financial effect, distinguishable from its effect on the public generally, on the official or a member of his or her immediate family or on:

(A) Any business entity in which the designated employee has a direct or indirect investment worth \$2,000 or more;

(B) Any real property in which the designated employee has a direct or indirect interest worth \$2,000 or more;

(C) Any source of income, other than gifts and other than loans by a commercial lending institution in the regular course of business on terms available to the public without regard to official status, aggregating \$500 or more in value provided to, received by or promised to the designated employee within 12 months prior to the time when the decision is made;

(D) Any business entity in which the designated employee is a director, officer, partner, trustee, employee, or holds any position of management; or

(E) Any donor of, or any intermediary or agent for a donor of, a gift or gifts aggregating \$500 or more provided to, received by, or promised to the designated employee within 12 months prior to the time when the decision is made.

(9.3) Section 9.3. Legally Required Participation.

No designated employee shall be prevented from making or participating in the making of any decision to the extent his or her participation is legally required for the decision to be made. The



fact that the vote of a designated employee who is on a voting body is needed to break a tie does not make his or her participation legally required for purposes of this section.

(9.5) Section 9.5. Disqualification of State Officers and Employees.

In addition to the general disqualification provisions of section 9, no state administrative official shall make, participate in making, or use his or her official position to influence any governmental decision directly relating to any contract where the state administrative official knows or has reason to know that any party to the contract is a person with whom the state administrative official, or any member of his or her immediate family has, within 12 months prior to the time when the official action is to be taken:

(A) Engaged in a business transaction or transactions on terms not available to members of the public, regarding any investment or interest in real property; or

(B) Engaged in a business transaction or transactions on terms not available to members of the public regarding the rendering of goods or services totaling in value \$1,000 or more.

(10) Section 10. Disclosure of Disqualifying Interest.

When a designated employee determines that he or she should not make a governmental decision because he or she has a disqualifying interest in it, the determination not to act may be accompanied by disclosure of the disqualifying interest.

(11) Section 11. Assistance of the Commission and Counsel.

Any designated employee who is unsure of his or her duties under this code may request assistance from the Fair Political Practices Commission pursuant to Section 83114 and Regulations 18329 and 18329.5 or from the attorney for his or her agency, provided that nothing in this section requires the attorney for the agency to issue any formal or informal opinion.

(12) Section 12. Violations.

This code has the force and effect of law. Designated employees violating any provision of this code are subject to the administrative, criminal and civil sanctions provided in the Political Reform Act, Sections 81000-91014. In addition, a decision in relation to which a violation of the disqualification provisions of this code or of Section 87100 or 87450 has occurred may be set aside as void pursuant to Section 91003.

---

<sup>1</sup> Designated employees who are required to file statements of economic interests under any other agency's conflict of interest code, or under article 2 for a different jurisdiction, may expand their statement of economic interests to cover reportable interests in both jurisdictions, and file copies of this expanded statement with both entities in lieu of filing separate and distinct statements, provided that each copy of such expanded statement filed in place of an original is signed and verified by the designated employee as if it were an original. See Section 81004.

<sup>2</sup> See Section 81010 and Regulation 18115 for the duties of filing officers and persons in agencies who make and retain copies of statements and forward the originals to the filing officer.

<sup>3</sup> For the purpose of disclosure only (not disqualification), an interest in real property does not include the principal residence of the filer.

<sup>4</sup> Investments and interests in real property which have a fair market value of less than \$2,000 are not investments and interests in real property within the meaning of the Political Reform Act. However, investments or interests in real property of an individual include those held by the individual's spouse and dependent children as well as a pro rata share of any investment or interest in real property of any business entity or trust in which the individual, spouse and dependent children own, in the aggregate, a direct, indirect or beneficial interest of 10 percent or greater.

<sup>5</sup> A designated employee's income includes his or her community property interest in the income of his or her spouse but does not include salary or reimbursement for expenses received from a state, local or federal government agency.

<sup>6</sup> Income of a business entity is reportable if the direct, indirect or beneficial interest of the filer and the filer's spouse in the business entity aggregates a 10 percent or greater interest. In addition, the disclosure of persons who are clients or customers of a business entity is required only if the clients or customers are within one of the disclosure categories of the filer.

Note: Authority cited: Section 83112, Government Code. Reference: Sections 87103(e), 87300-87302, 89501, 89502 and 89503, Government Code.

#### HISTORY

1. New section filed 4-2-80 as an emergency; effective upon filing (Register 80, No. 14).  
Certificate of Compliance included.
2. Editorial correction (Register 80, No. 29).
3. Amendment of subsection (b) filed 1-9-81; effective thirtieth day thereafter (Register 81, No. 2).
4. Amendment of subsection (b)(7)(B)1. filed 1-26-83; effective thirtieth day thereafter (Register 83, No. 5).
5. Amendment of subsection (b)(7)(A) filed 11-10-83; effective thirtieth day thereafter (Register 83, No. 46).
6. Amendment filed 4-13-87; operative 5-13-87 (Register 87, No. 16).
7. Amendment of subsection (b) filed 10-21-88; operative 11-20-88 (Register 88, No. 46).
8. Amendment of subsections (b)(8)(A) and (b)(8)(B) and numerous editorial changes filed 8-28-90; operative 9-27-90 (Reg. 90, No. 42).

9. Amendment of subsections (b)(3), (b)(8) and renumbering of following subsections and amendment of Note filed 8-7-92; operative 9-7-92 (Register 92, No. 32).
10. Amendment of subsection (b)(5.5) and new subsections (b)(5.5)(A)-(A)(2) filed 2-4-93; operative 2-4-93 (Register 93, No. 6).
11. Change without regulatory effect adopting Conflict of Interest Code for California Mental Health Planning Council filed 11-22-93 pursuant to title 1, section 100, California Code of Regulations (Register 93, No. 48). Approved by Fair Political Practices Commission 9-21-93.
12. Change without regulatory effect redesignating Conflict of Interest Code for California Mental Health Planning Council as chapter 62, section 55100 filed 1-4-94 pursuant to title 1, section 100, California Code of Regulations (Register 94, No. 1).
13. Editorial correction adding History 11 and 12 and deleting duplicate section number (Register 94, No. 17).
14. Amendment of subsection (b)(8), designation of subsection (b)(8)(A), new subsection (b)(8)(B), and amendment of subsections (b)(8.1)-(b)(8.1)(B), (b)(9)(E) and Note filed 3-14-95; operative 3-14-95 pursuant to Government Code section 11343.4(d) (Register 95, No. 11).
15. Editorial correction inserting inadvertently omitted language in footnote 4 (Register 96, No. 13).
16. Amendment of subsections (b)(8)(A)-(B) and (b)(8.1)(A), repealer of subsection (b)(8.1)(B), and amendment of subsection (b)(12) filed 10-23-96; operative 10-23-96 pursuant to Government Code section 11343.4(d) (Register 96, No. 43).
17. Amendment of subsections (b)(8.1) and (9)(E) filed 4-9-97; operative 4-9-97 pursuant to Government Code section 11343.4(d) (Register 97, No. 15).

18. Amendment of subsections (b)(7)(B)5., new subsections (b)(8.2)-(b)(8.4)(C) and amendment of Note filed 8-24-98; operative 8-24-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 35).

19. Editorial correction of subsection (a) (Register 98, No. 47).

20. Amendment of subsections (b)(8.1), (b)(8.1)(A) and (b)(9)(E) filed 5-11-99; operative 5-11-99 pursuant to Government Code section 11343.4(d) (Register 99, No. 20).

21. Amendment of subsections (b)(8.1)-(b)(8.1)(A) and (b)(9)(E) filed 12-6-2000; operative 1-1-2001 pursuant to the 1974 version of Government Code section 11380.2 and Title 2, California Code of Regulations, section 18312(d) and (e) (Register 2000, No. 49).

22. Amendment of subsections (b)(3) and (b)(10) filed 1-10-2001; operative 2-1-2001.

Submitted to OAL for filing pursuant to *Fair Political Practices Commission v. Office of Administrative Law*, 3 Civil C010924, California Court of Appeal, Third Appellate District, nonpublished decision, April 27, 1992 (FPPC regulations only subject to 1974 Administrative Procedure Act rulemaking requirements) (Register 2001, No. 2).

23. Amendment of subsections (b)(7)(A)4., (b)(7)(B)1.-2., (b)(8.2)(E)3., (b)(9)(A)-(C) and footnote 4. filed 2-13-2001. Submitted to OAL for filing pursuant to *Fair Political Practices Commission v. Office of Administrative Law*, 3 Civil C010924, California Court of Appeal, Third Appellate District, nonpublished decision, April 27, 1992 (FPPC regulations only subject to 1974 Administrative Procedure Act rulemaking requirements) (Register 2001, No. 7).

24. Amendment of subsections (b)(8.1)-(b)(8.1)(A) filed 1-16-2003; operative 1-1-2003.

Submitted to OAL for filing pursuant to *Fair Political Practices Commission v. Office of Administrative Law*, 3 Civil C010924, California Court of Appeal, Third Appellate District,

nonpublished decision, April 27, 1992 (FPPC regulations only subject to 1974 Administrative Procedure Act rulemaking requirements) (Register 2003, No. 3).

25. Editorial correction of History 24 (Register 2003, No. 12).

26. Editorial correction removing extraneous phrase in subsection (b)(9.5)(B) (Register 2004, No. 33).

27. Amendment of subsections (b)(2)-(3), (b)(3)(C), (b)(6)(C), (b)(8.1)-(b)(8.1)(A), (b)(9)(E) and (b)(11)-(12) filed 1-4-2005; operative 1-1-2005 pursuant to Government Code section 11343.4 (Register 2005, No. 1).

28. Amendment of subsection (b)(7)(A)4. filed 10-11-2005; operative 11-10-2005 (Register 2005, No. 41).

29. Amendment of subsections (a), (b)(1), (b)(3), (b)(8.1), (b)(8.1)(A) and (b)(9)(E) filed 12-18-2006; operative 1-1-2007. Submitted to OAL pursuant to *Fair Political Practices Commission v. Office of Administrative Law*, 3 Civil C010924, California Court of Appeal, Third Appellate District, nonpublished decision, April 27, 1992 (FPPC regulations only subject to 1974 Administrative Procedure Act rulemaking requirements) (Register 2006, No. 51).

30. Amendment of subsections (b)(8.1)-(b)(8.1)(A) and (b)(9)(E) filed 10-31-2008; operative 11-30-2008. Submitted to OAL for filing pursuant to *Fair Political Practices Commission v. Office of Administrative Law*, 3 Civil C010924, California Court of Appeal, Third Appellate District, nonpublished decision, April 27, 1992 (FPPC regulations only subject to 1974 Administrative Procedure Act rulemaking requirements and not subject to procedural or substantive review by OAL) (Register 2008, No. 44).

31. Amendment of section heading and section filed 11-15-2010; operative 12-15-2010. Submitted to OAL for filing pursuant to *Fair Political Practices Commission v. Office of*

*Administrative Law*, 3 Civil C010924, California Court of Appeal, Third Appellate District, nonpublished decision, April 27, 1992 (FPPC regulations only subject to 1974 Administrative Procedure Act rulemaking requirements and not subject to procedural or substantive review by OAL) (Register 2010, No. 47).

32. Amendment of section heading and subsections (a)-(b)(1), (b)(3)-(4), (b)(5)(C), (b)(8.1)-(b)(8.1)(A) and (b)(9)(E) and amendment of footnote 1 filed 1-8-2013; operative 2-7-2013.

Submitted to OAL for filing pursuant to *Fair Political Practices Commission v. Office of Administrative Law*, 3 Civil C010924, California Court of Appeal, Third Appellate District, nonpublished decision, April 27, 1992 (FPPC regulations only subject to 1974 Administrative Procedure Act rulemaking requirements and not subject to procedural or substantive review by OAL) (Register 2013, No. 2).

33. Amendment of subsections (b)(8.1)-(b)(8.1)(A), (b)(8.2)(E)3. and (b)(9)(E) filed 12-15-2014; operative 1-1-2015 pursuant to section 18312(e)(1)(A), title 2, California Code of Regulations.

Submitted to OAL for filing and printing pursuant to *Fair Political Practices Commission v. Office of Administrative Law*, 3 Civil C010924, California Court of Appeal, Third Appellate District, nonpublished decision, April 27, 1992 (FPPC regulations only subject to 1974 Administrative Procedure Act rulemaking requirements) (Register 2014, No. 51).

34. Redesignation of portions of subsection (b)(8)(A) as new subsections (b)(8)(B)-(D), amendment of subsections (b)(8.1)-(b)(8.1)(A), redesignation of portions of subsection (b)(8.1)(A) as new subsections (b)(8.1)(B)-(C) and amendment of subsection (b)(9)(E) filed 12-1-2016; operative 12-31-2016 pursuant to Cal. Code Regs. tit. 2, section 18312(e). Submitted to OAL for filing pursuant to *Fair Political Practices Commission v. Office of Administrative Law*, 3 Civil C010924, California Court of Appeal, Third Appellate District, nonpublished decision,

April 27, 1992 (FPPC regulations only subject to 1974 Administrative Procedure Act rulemaking requirements and not subject to procedural or substantive review by OAL) (Register 2016, No. 49).

35. Amendment of subsections (b)(8.1)-(b)(8.1)(A) and (b)(9)(E) filed 12-12-2018; operative 1-11-2019 pursuant to Cal. Code Regs., tit. 2, section 18312(e). Submitted to OAL for filing and printing pursuant to *Fair Political Practices Commission v. Office of Administrative Law*, 3 Civil C010924, California Court of Appeal, Third Appellate District, nonpublished decision, April 27, 1992 (FPPC regulations only subject to 1974 Administrative Procedure Act rulemaking requirements and not subject to procedural or substantive review by OAL) (Register 2018, No. 50).