

(R-92-1260)

RESOLUTION NUMBER R- 279589

ADOPTED ON MAR 23 1992

RESOLUTION ADOPTING THE CONFLICT OF INTEREST
CODE FOR THE WASTE MANAGEMENT DEPARTMENT OF
THE CITY OF SAN DIEGO.

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 Waste Management Department was once a part of The City of San Diego's General Services Department and its employees were therefore once subject to that department's Conflict of Interest Code; and

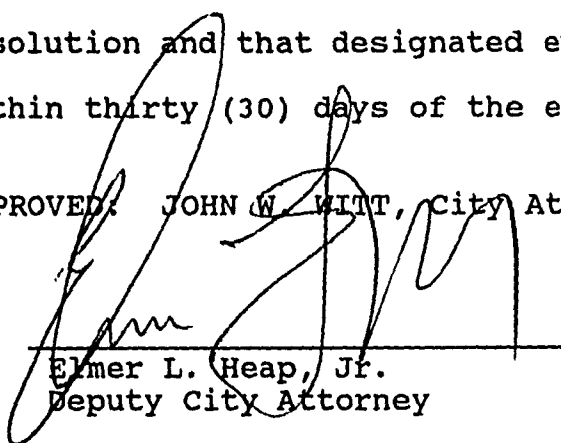
WHEREAS, the Waste Management Department is now administered separately and distinctly from the General Services Department thereby necessitating development and adoption of a separate Conflict of Interest Code governing designated employees of its department; NOW, THEREFORE,

BE IT RESOLVED, by the Council of The City of San Diego, that the Conflict of Interest Code of the Waste Management Department of The City of San Diego, submitted pursuant to Government Code section 87300, a copy of which is on file in the office of the City Clerk as Document No. RR- 279589, along with the attached Appendix A in which employees and consultants are designated, and attached Appendix B in which disclosure categories are set forth, be and is hereby approved.

BE IT FURTHER RESOLVED, that pursuant to section (b)(4) of the Conflict of Interest Code, designated employees shall file their Statements of Economic Interest ("SEI's") with the Waste Management Director, and upon receipt of the statements, the Waste Management Director shall make and retain a copy and forward the original of these statements to the City Clerk.

BE IT FURTHER RESOLVED, that the Conflict of Interest Code shall become effective upon the date of adoption of this resolution and that designated employees shall file their SEI's within thirty (30) days of the effective date of this code.

APPROVED:  JOHN W. WITT, City Attorney

By  Elmer L. Heap, Jr.
Deputy City Attorney

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03/04/92
Or.Dept:Waste.Mgmt.
R-92-1260
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DUPLICATE

CONFLICT OF INTEREST CODE FOR THE
WASTE MANAGEMENT DEPARTMENT

(Regulation of the Fair Political Practices Commission, Title 2,
Division 6 of the 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 Government Code Section 87300 or the amendment of a conflict of interest code within the meaning of Government Code 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, Government Code 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 Government Code 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 (2 Cal. Code of Regs. Sections 18100, et seq.), and any amendments to the Act or regulations, are incorporated by reference into this conflict of interest code.

DOCUMENT NO. ll-279589

FILED MAR 23 1992

OFFICE OF THE CITY CLERK - 1 -
SAN DIEGO, CALIFORNIA

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(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 financial interests.

(3) Section 3 Disclosure Categories

This code does not establish any disclosure obligation for those designated employees who are also specified in Government Code 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 financial interests pursuant to Article 2 of Chapter 7 of the Political Reform Act, Government Code Sections 87200, et seq.¹ 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 financial interest are reportable. Such a designated employee shall disclose in his or her statement of economic interest those financial interest 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 financial interests set forth in a designated employee's disclosure categories are the kinds of financial interests which he or she foreseeably can affect materially through the conduct of his or her office.

¹ Designated employees who are required to file statements of economic interest 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 Government Code Section 81004.

(4) Section 4 Statements of Economic Interest:

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.²

(5) Section 5 Statements of Economic Interest:

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 with 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.

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

² See Government Code Section 81010 and 2 Cal. Code of Regs. Section 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.

(5.5) Section 5.5. Statements for Persons Who Resign 30 Days after Appointment.

Persons who resign with 30 days of initial appointment are not deemed to have assumed office or left office provided they did not make or participate in the making of, or use their position to influence any decision and did not receive or become entitled to receive any form of payment as a result of their appointment. Such persons shall not file either an assuming or leaving office statement.

(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, interest 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 month 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.

(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 interest shall be made on forms prescribed by the Fair Political Practices Commission and supplied by the agency, and shall contain the following information:

(A) Investments and Real Property Disclosure. When an investment or an interest in real property³ is required to be reported,⁴ 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 exceeds one thousand dollars (\$1,000), exceeds ten thousand dollars (\$10,000), or exceeds one hundred thousand dollars (\$100,000).

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

⁴ Investments and interest in real property which have a fair market value of less than \$1,000 are not investments and interest 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 rate share on 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.

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

1. The name and address of each source of income aggregating two hundred fifty dollars (\$250) or more in value or fifty dollars (\$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 one thousand dollars (\$1,000) or less, greater than one thousand dollars (\$1,000), or greater than ten thousand dollars (\$10,000);

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, give for the loan.

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

⁵ 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 for a state, local or federal government agency.

⁶ 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.

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 rate share of gross receipts from such person was equal to or greater than ten thousand dollars (\$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. 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 one thousand dollars (\$1,000) or more;

(B) Any real property in which the designated employee has a direct or indirect interest worth one thousand dollars (\$1,000) 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 two hundred fifty dollars (\$250) 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 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 \$250 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.

(8.3) Section 8.3. 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.

(8.5) Section 8.5. Disqualification of State Officers and Employees.

In addition to the general disqualification provisions of Section 8, 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 one thousand dollars (\$1,000) or more.

(9) Section 9. Manner of Disqualification.

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 must be accompanied by disclosure of the disqualifying interest. In the case of a voting body, this determination and disclosure shall be made part of the agency's official record; in the case of designated employee who is the head of an agency, this determination and disclosure shall be made in writing to his or her appointing authority; and in the case of other designated employees, this determination and disclosure shall be made in writing to the designated employee's supervisor.

(10) Section 10. 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 Government Code Section 83114 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.

(11) Section 11. 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, Government Code Sections 81000 - 91014. In addition, a decision in relation to which a violation of the disqualification provisions of this code or of Government Code Section 87100 or 87450 has occurred may be set aside as void pursuant to Government Code Section 91003.

Note: Authority cited: Section 83112, Government Code.
Reference: Sections 87300 - 87302, Government Code.

History:

- (1) New Section filed 4/2/80 as an emergency; effective upon filing.
- (2) Editorial correction
- (3) Amendment of subsection (b) filed 1/9/81; effective thirtieth day thereafter
- (4) Amendment of subsection (b)(7)(B)1. filed 1/26/83; effective thirtieth day thereafter
- (5) Amendment of subsection (b)(7)(A) filed 11/10/83; effective thirtieth day thereafter
- (6) Amendment filed 4/13/87; operative 5/13/87
- (7) Amendment of subsection (b) filed 10/21/88; operative 11/10/88
- (8) Amendment filed 8/28/90; operative 9/27/90.

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APPENDIX A

DESIGNATED POSITIONS, DUTIES AND CATEGORIES

<u>Position</u>	<u>Duties</u>	<u>Category</u>
Waste Management Director	Approves major (+\$2,500) purchases of equipment, vehicles, supplies or services relating to department needs, including consultants, as described in each division.	1
Assistant Waste Management Director	Approves major (+\$2,500) purchases of equipment, vehicles, supplies or services relating to department needs, including consultants, as described in each division.	1
Supervising Administrative Analyst (Administration)	Analyzes needs for and recommends purchase of equipment, supplies or services relating to department needs, including consultants. Signs purchase requisitions, direct payment requests and invoices.	1
Deputy Director Waste Management Department, Services Division	Approves or recommends financial decisions concerning contracts, equipment purchases, consultant contracts, equipment leases, service contracts and other purchases and service agreements for the division.	2
Recycling Program Manager	Provides management with recommendations concerning the recycling program supplies, services and equipment requirements. Evaluates compliance with contract specifications.	2
Hazardous Material Program Manager	Provides management with recommendations concerning the hazardous material management program supplies, services and equipment requirements, and evaluates compliance with contract specifications.	2 & 5

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<u>Position</u>	<u>Duties</u>	<u>Category</u>
Recycling Program Supervisor	Provides management with recommendations concerning the recycling program supplies, services and equipment requirements. Evaluates compliance with contract specifications.	4
Division Analyst	Analyzes needs for and recommends purchase of equipment, supplies or services relating to division needs, including consultants as described for the division.	3
Senior Planner	Provides management with recommendations concerning equipment purchases, consultant contracts, equipment leases, and evaluates compliance with contract specifications.	2, 3, & 5
Deputy Director Waste Management Refuse Collection Division	Approves or makes recommendations regarding financial decisions concerning contracts, equipment purchases, consultant contracts, equipment leases, work clothes service contracts, and contracts for purchase and installation of equipment.	3
Assistant Deputy Director, Waste Management Refuse Collection	Approves or makes recommendations regarding financial decisions concerning contracts, equipment purchases, consultant contracts, equipment leases, work clothes service contracts, and contracts, and contracts for purchase and installation of equipment.	3

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<u>Position</u>	<u>Duties</u>	<u>Category</u>
Refuse Collection Manager	Provides management with recommendations regarding financial decisions concerning contracts, equipment purchases, consulting contracts, equipment leases, work clothes service contracts, and contracts for purchase and installation of equipment.	3
Curbside Recycling Program Manager	Provides management with recommendations regarding financial decisions concerning equipment purchases and leases, work clothes service contracts, and contracts for purchase and installation of equipment.	4
Division Analyst	Analyzes needs for and recommends purchase of equipment, supplies or services relating to division needs, including consultants as described for the division.	3
Deputy Director Waste Management Refuse Disposal Division	Approves and makes recommendations regarding financial decisions concerning contracts, equipment purchases, consultant contracts, equipment leases, work clothes service contracts and contracts for purchase and installation of equipment. Approves or makes recommendations regarding the licensing of refuse collection firms, including vehicle inspection, etc.	3
Supervising Administrative Analyst	Approves or makes recommendations regarding financial decisions concerning contracts, equipment purchases, consultant contracts, equipment leases, work clothes service contracts, and contracts for purchase and installation of equipment. Approves or makes recommendations regarding the licensing of refuse collection firms, including vehicle inspection, etc.	3

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<u>Position</u>	<u>Duties</u>	<u>Category</u>
Sr. Civil Engineer	Approves or makes recommendations regarding financial decisions concerning contracts, consultant contracts and contracts for purchase and installation equipment. Approves or makes recommendations regarding the licensing of refuse collection firms, including vehicle inspection, etc.	3
Associate Administrative Analyst	Analyzes needs for and recommends purchase of equipment, supplies or services relating to department needs, including consultants, as described for the division.	3
Deputy Director Waste Management Litter Control Division	Approves or makes recommendations regarding financial decisions concerning contracts, equipment purchases, work clothes service contracts, contracts for purchase and installation of equipment, and other purchases and service agreements for the Division.	3
General Utility Supervisor	Approves or makes recommendations regarding financial decisions concerning contracts, equipment purchases, work clothes service contracts, contracts for purchase and installation of equipment, and other purchases and service agreements for the Division.	3
Consultants	Determined by contract. Disclosure will be as required. See Exhibit B.	5

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EXHIBIT B


DISCLOSURE CATEGORIES

<u>CATEGORY</u>	<u>SCHEDULE</u>	<u>DESCRIPTION</u>
1	A & C-2	All reportable interests in the real property owned or used by and all reportable investments in or income from any person, firm, or entity of vehicle and equipment dealers or suppliers; recycling equipment and material manufacturers or suppliers; maintenance and industrial service companies; refuse collection or disposal services; and management consultants for services required by the department.
2	B & C-1	All reportable investments in or income from any person, firm or entity of recycling equipment including vehicles and hazardous materials manufacturers or suppliers; industrial services companies; container manufacturers or suppliers; and consultants for services required by the division.
3	B & C-1	All reportable investments in or income from any person, firm or entity of refuse collection or disposal services; refuse recovery activity purchases; general motive equipment; refuse collection or disposal equipment dealers, manufacturers or suppliers; work clothes service contractors; and consultants for services required by the division.
4	D, E, F, G & H	All reportable investments in or income from any person, firm or entity of vehicle equipment manufacturers, dealers or suppliers; container and parts manufacturers or suppliers; and consulting firms providing services required by the division.
5	AS REQUIRED	All reportable real property interests and all interest in or income from firms contracting for hazardous material or manufacture, dealer or supplier of hazardous material equipment and consulting firms providing services

required by the division.

Also, the Department Director or Deputy Director may determine in writing that a particular consultant, although a "designated positions," 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 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 Director's or Deputy Director's determination is a public record and shall be retained for public inspection in the same manner and location as this conflict of interest code.

The foregoing Conflict of Interest Code has been prepared by the Waste Management Department after a fair opportunity for the employees of the department to present their views had been offered. The Code is submitted to the City Council this _____ day of MAR 23 1992, 19____.


Richard L. Hays
Waste Management Director

The above Conflict of Interest Code was approved by the Council of the City of San Diego, acting as the code reviewing body pursuant to the Political Reform Act of 1974, as amended, by Resolution No. R- 279589, on the MAR 23 1992 day of _____, 19____.


City Clerk



106

Passed and adopted by the Council of The City of San Diego on MAR 23 1992
by the following vote:

Council Members	Yeas	Nays	Not Present	Ineligible
Abbe Wolfsheimer	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Ron Roberts	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
John Hartley	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
George Stevens	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Tom Behr	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Valerie Stallings	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Judy McCarty	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bob Filner	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mayor Maureen O'Connor	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

AUTHENTICATED BY:

MAUREEN O'CONNOR

Mayor of The City of San Diego, California.

CHARLES G. ABDELNOUR

City Clerk of The City of San Diego, California.

(Seal)

By *Mary Depina* Deputy.

Office of the City Clerk, San Diego, California

Resolution Number 279589 Adopted MAR 23 1992

#1 1010

Passed and adopted by the Council of The City of San Diego on MAR 23 1992,
by the following vote:

Council Members	Yeas	Nays	Not Present	Ineligible
Abbe Wolfsheimer	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Tom Behr	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Valerie Stallings	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Judy McCarty	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bob Filner	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mayor Maureen O'Connor	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

AUTHENTICATED BY:

(Seal)

MAUREEN O'CONNOR
Mayor of The City of San Diego, California.

CHARLES G. ABDELNOUR
City Clerk of The City of San Diego, California.

By Mary Cepeda, Deputy.

Office of the City Clerk, San Diego, California

Resolution Number 279589 Adopted MAR 23 1992

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CITY CLERKS OFFICE
SAN DIEGO, CA