

(R-93-606)

RESOLUTION NUMBER R- 281382

ADOPTED ON JAN 25 1993

RESOLUTION AMENDING THE CONFLICT OF
INTEREST CODE FOR THE CITY OF SAN
DIEGO'S WASTE MANAGEMENT DEPARTMENT.

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, by Resolution No. R-279589, adopted on March 23, 1992, the City Council adopted a Conflict of Interest Code for the City's Waste Management Department pursuant to the Political Reform Act of 1974, as amended; and

WHEREAS, pursuant to Government Code sections 87303 and 87306.5 requiring biennial review and update of local conflict of interest codes, as reflected in City Council Resolution No. R-280174, adopted on June 22, 1992, the Waste Management Department's Code has been revised to reflect changes in the law and regulations, and to update the designated positions in Appendix A; and

WHEREAS, the Director of the Waste Management Department has certified that employees affected by this revision have had an opportunity to review and comment on the proposed revisions; NOW THEREFORE,

BE IT RESOLVED, by the Council of The City of San Diego, that the revised Code of the Waste Management Department of The

City of San Diego, including Appendix A in which employees and consultants are designated and Appendix B in which disclosure categories are set forth, is hereby approved. A copy of the Code is attached hereto and on file in the office of the City Clerk as Document No. RR- 281382 .

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

BE IT FURTHER RESOLVED, that this revised Code shall supersede all others governing the Waste Management Department and shall become effective upon the date of adoption of this resolution.

APPROVED: JOHN W. WITT, City Attorney

By Cristie C McGuire
Cristie C. McGuire
Deputy City Attorney

CCM:jrl
12/15/92
Or.Dept:W.Mgmt.
R-93-606
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R- 281382

CONFLICT OF INTEREST CODE FOR THE
WASTE MANAGEMENT DEPARTMENT

134a

Amend 2 Cal. Code of Regs. Section 18730 to read:

DOCUMENT NO. RR-281382
JAN 25 1993
FILED
OFFICE OF THE CITY CLERK
SAN DIEGO, CALIFORNIA

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.

(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.

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, Government Code Section 87200; and

C) The filing officer is the same for both agencies.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 interests are reportable. Such a designated employee shall disclose in his or her statement of economic interests those financial 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 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.

(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

¹ 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 Government Code Section 81004.

conflict of interest code.²

(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.

(D) Leaving Office Statements. All persons who leave designated positions shall file statements within 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 within 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, 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.

(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) 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:

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 interests in real property which have a fair market value of less than \$1,000 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.

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).

(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;

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 from a state, local or federal government agency.

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, given 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:

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

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.

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 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. State Agency Prohibition on Receipt of Honoraria. No member of a state board or commission, and no designated employee of a state 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. 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.

Subdivisions (b), (c), (d), and (e) of Government Code Section 89502 shall apply to the prohibitions in this section.

(8.1) Section 8.1 State Agency Prohibition on Receipt of Gifts of \$250 or More. No member of a state board or commission, and no designated employee of a state agency, shall accept gifts with a total value of more than two hundred fifty dollars (\$250) 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. 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.

Subsections (b), (c), (d), and (e) of Government Code Section 89504 shall apply to the prohibitions in this section.

(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 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 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 \$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.

(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 one thousand dollars (\$1,000) or more.

(10) Section 10. 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 a 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.

(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 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.

(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, 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.

AUTHORITY: Section 83112, Gov. Code

REFERENCE: Sections 87300-87302, 89503, and 89504, Gov. Code

EXHIBIT 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
Assistant to the Waste Management Director	Advises the Director, and the Assistant Director on matters involving the Department's working with the California Integrated Waste Management Board (CWMB) and other state and local agencies.	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

R-281382

<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

<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

<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

R- 281382

EXHIBIT B

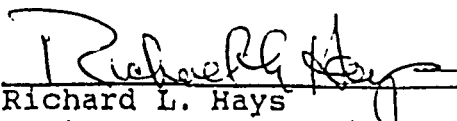
DISCLOSURE CATEGORIES

<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

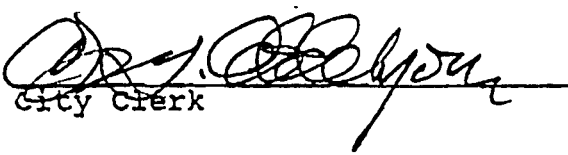
required by the division.

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 JAN 25 1993, 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- 281382, on the JAN 25 1993 day of _____, 19____.


City Clerk

131a

Passed and adopted by the Council of The City of San Diego on JAN 25 1993
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"/>
Vacant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mayor Susan Golding	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

AUTHENTICATED BY:

SUEAN GOLDING

Mayor of The City of San Diego, California.

CHARLES G. ABDELNOUR

City Clerk of The City of San Diego, California.

(Seal)

By *Lucia Lopez*, Deputy.

Office of the City Clerk, San Diego, California

Resolution Number R-281382 Adopted JAN 25 1993