(R-95-808)

RESOLUTION NUMBER R- 285016

ADOPTED ON NFC 5 1994

RESOLUTION ADOPTING REVISED CONFLICT OF INTEREST CODE FOR THE OFFICE OF THE CITY ATTORNEY.

WHEREAS, Government Code section 87306.5 requires biennial review of local conflict of interest codes every even-numbered year; and

WHEREAS, by Resolution No. 284140, adopted June 27, 1994, the City Council directed each City Department to make its biennial report and to update its conflict of interest code as necessary; and

WHEREAS, the City Attorney's Conflict of Interest Code must be revised to update the list of designated employees required to file disclosure forms (Appendix A) and to update the disclosure categories (Appendix B); NOW, THEREFORE,

BE IT RESOLVED, by the Council of The City of San Diego, that the revised Conflict of Interest Code of the City Attorney's Office of The City of San Diego, including Appendix A in which employees are designated and Appendix B in which disclosure categories are set forth, is hereby approved. A copy of the Conflict of Interest Code as revised is attached hereto and on file in the office of the City Clerk as Document No. RR-

285016.

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 City Attorney and upon receipt of the statements, the City Attorney shall make and retain a copy and forward the original of these statements to the City Clerk.

BE IT FURTHER RESOLVED, that the revised Conflict of
Interest Code 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 11/14/94 Or.Dept:City Atty. R-95-808 Form=r+t (Regulations of the Fair Political Practices Commission, Title 2, Division 6 of the California Code of Regulations)

18730. Provisions of Conflict of Interest Codes

- 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. 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

- 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
 conflict of interest code.²

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.

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 or ginals to the filing officer. R = 28501618730

- (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 in 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 :hall 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.
- (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
- 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.
- (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 property 3 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).
- (B) Personal Income Disclosure. When personal income is required to be reported, 5 the statement shall contain:

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

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.

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.

- 1. The se and address of each source of scome 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, 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:

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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 grear interest. In addition, the disclosure of persons who are clints 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 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 parttime 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.

- 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 r her immediate family has, within 12 months prior to the time ten 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.
- 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.

Note: Authority: Section 83112, Gov. Code
Reference: Sections 87300-87302, 89503, and 89504, Gov. Code

<u>History</u>

- (1) New section filed 4-2-80 as an emergency; effective upon filing. Certificate of Compliance included.
- (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; effective thirtieth day thereafter.
- (7) Amendment of subsection (b) filed 10-21-88; effective thirtieth day thereafter.
- (8) Amendment filed 8-28-90; effective thirtieth day thereaft
- (9) Amendment filed 8-7-92; effective thirtieth day thereafte.
- (10) Amendment filed 2-5-93; effective upon filing.

City Attorney's Conflict of Interest Code

APPENDIX A

<u>Position</u>	<u>Duties</u>	Category
City Attorney	Chief legal advisor of and attorney for the City and all departments and offices thereof as specified in San Diego City Charter Section 40.	Files 721 Form (Statutory Requirement - Gov't Code § 87200)
Assistant City Attorney*	Under Administrative direction, to assist the City Attorney in planning, directing and coordinating the activities of the City Attorney's office; and to perform related work.	1
Senior Chief Deputy City Attorney*	Under administrative direction, to provide legal counsel to the City Council, City Manager and major department heads; to assist the City Attorney in planning, directing and coordinating the work of all divisions in the City Attorney's office; and to perform related work.	1
Chief Deputy City Attorney*	Review and coordinate assignments of Deputy City Attorneys as well as legal representation in specified areas.	1
All Deputy City Attorneys in Civil Advisory and Civil	Perform duties as assigned by the City Attorney.	1
Litigation Divisions, and in Code Enforcement and Consumer and Environmental Protection Unit of Criminal Division*		o
*The Attorney who sits with the Funds Commission in the place of the City Attorney		Files 721 Form (Statutory & Regulatory Requirement - Gov't Code § 87200; 2 Cal. Code of Regs. § 18720)

Position	<u>Duties</u>	Category
All other Deputy City Attorneys in Criminal Division	Perform duties as assigned by the City Attorney	2
Principal Assistant to the City Attorney	Under administrative direction, to assist the City Attorney in the administration of the office of the City Attorney; and to perform related work.	2
Dispute Resolution Officer	Under general supervision, to resolve citizen disputes without formal court proceedings; to conduct informal office hearings to obtain compliance with the law; and to perform related work.	2
Investigation Support Manager	Under direction, to develop, plan, coordinate and direct through sub-ordinate supervisors, a wide variety of pre-trial investigations for City liability and other cases; and to perform related work.	2
Principal Litigation Investigator	Under direction, to plan, assign, supervise and coordinate a wide variety of pre-trial investigations for City liability and other cases; to conduct special investigations; and to perform related work.	3
Senior Litigation Investigator	Under direction, to perform the more difficult and complex pretrial investigations for City liability and other cases going to trial; to perform sensitive and complex special investigations and projects; to supervise litigation investigators; and to perform related work.	3 .
Litigation Investigator	Under direction, to perform a wide variety of investigations for City liability and other cases going to trial; to conduct special investigations; and to perform related work.	3

	<u>Position</u>	<u>Duties</u>	Category
•	Senior Legal Assistant	Under direction, to train, supervise and review the work of subordinate Legal Assistants within a work unit; to perform the more difficult, complex and sensitive paralegal duties; and to perform related work.	3
	Legal Assistant	Under direction, to assist Deputy City Attorneys by performing routine paralegal duties in the City Attorney's Office; and to perform related work.	3
	Librarian III (Law Librarian)	Under direction, to organize and maintain 3 Division libraries, including acquisitions from law publishers and legal information suppliers, records management and indexing, litigation support, and managing in-house training in legal research and database searching, and acting as in-house automation consultant; and to perform related work.	3
	Data Systems Coordinator	Under direction, at the journey level, to serve as the departmental representative and liaison between a City department and the San Diego Data Processing Corporation or private computer vendors in the development, testing, implementation, and modification of complex automated information systems; and to perform related work.	3
	Associate Administrative Analyst	Under direction, at the journey level, to perform difficult and complex budgetary, fiscal, organizational, and administrative studies and assignments; to prepare, administer, and analyze operating and capital improvements budgets; and to perform related work.	3

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Consultants

A Chief Deputy City Attorney, Senior Chief Deputy City Attorney, Assistant City Attorney or City Attorney 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 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 Chief Deputy City Attorney, Senior Chief Deputy City Attorney, Assistant City Attorney or City Attorney'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 City Attorney has determined that the following consultants are subject to the City Attorney Conflict of Interest Code and to file disclosure forms:

- Attorneys on retainer who serve in a staff capacity and who provide legal services on an ongoing basis. The scope of disclosure will be determined at the time of formation of the contract.

The City Attorney has determined that the following categories of consultants are not subject to the City Attorney's Conflict of Interest Code and shall not be required to file economic disclosure forms:

- Attorneys who <u>volunteer</u> services to the City Attorney
- Attorneys who provide limited duties for specific litigation or special projects

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- Expert witnesses
- Consultants who provide expertise in limited areas for specific litigation or special projects.

City Attorney's Conflict of Interest Code

APPENDIX B

As used in APPENDIX B, "The City of San Diego" means the City itself as well as all entities for which the Office of the City Attorney provides legal services.

Category 1:

Investments and business positions in any business entity located in or doing business in the jurisdiction.

Income from sources located in or doing business in the jurisdiction.

Interests in real property located in the jurisdiction, including property located within a two-mile radius of any property owned or used by the City.

Category 2:

- a. All reportable investments and business positions in any firm or business entity that supplies goods or services to The City of San Diego, that is a tenant of The City of San Diego, that is an adverse party to The City of San Diego in a legal proceeding, or is granted authority by The City of San Diego to use City facilities.
- b. All reportable interests in real property owned or used by any person or business entity that supplies goods or services to The City of San Diego, that is a tenant of The City of San Diego, that is an adverse party to The City of San Diego in a legal proceeding, or is granted authority by The City of San Diego to use City facilities.
- All reportable income, including gifts of fifty dollars (\$50) or more, from any person or business entity that supplies goods or services to The City of San Diego, that is a tenant of The City of San Diego, that is an adverse party to The City of San Diego in a legal proceeding, or is granted authority by The City of San Diego to use City facilities.

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Category 3:

All reportable investments or business positions in any business entity, all reportable income (including gifts of fifty dollars (\$50) or more) from any person or business entity, or all reportable interests in real property with any person or business entity, if that person or business entity is reasonably foreseeably the subject of investigation by The City of San Diego, is an adverse party to The City of San Diego in a legal proceeding, or is contracting with or selling to The City of San Diego.

Category 4:

AS REQUIRED

A Chief Deputy City Attorney, Senior Chief Deputy City Attorney, Assistant City Attorney, or City Attorney 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 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 Chief Deputy City Attorney, Senior Chief Deputy City Attorney, Assistant City Attorney, or City Attorney'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.

CCM:jrl:pev 11/21/94

CERTIFICATION

The foregoing Conflict of Interest Code has been prepared for the City Attorney's Office after a fair opportunity was offered to the affected employees of the City Attorney's Office to present their views.

> John W. Witt City Attorney

> Charles G. Abdelnour City Clerk

LOCAL AGENCY BIENNIAL REPORT

Government Code Section 87306.5 requires local agencies to submit to their code reviewing body a biennial report identifying changes in the code, or a statement that their code is not in need of amendment. Normally, such reports are to be submitted no later than October 1 of each even-numbered year. This year, the report is due no later than October 3, 1994, and is to be returned to your agency's respective code reviewing body (Section 82011). You may use this form or you may prepare your own report. When completed, submit this form, along with your Request for Council Action, to:

City Attorney's Office City of San Diego 202 "C" Street, MS 3A San Diego, CA 92101

NOTE: WE REQUEST YOU SUBMIT THIS BY SEPTEMBER 1, 1994.

This agency has reviewed its conflict of interest code and has determined that:

	•
1)	Our agency's code accurately designates all positions which make or participate in the making of governmental decisions; that the disclosure assigned those positions accurately requires the disclosure of all investments,
	business positions, interests in real property and sources of income which may foreseeably be affected materially by the decisions made by those designated positions; and further that the code includes all other provisions required by Government Code Section 87302; or
2) <u>X</u>	Our agency's code is in need of amendment. We have determined that the following amendments are necessary (check applicable items):
	Include new positions which must be designated
	$\underline{\chi}$ Make changes to the reportable sources of income, investments, business positions, or real property
	$\stackrel{ imes}{}$ Make changes to the positions assigned
· .	Change or add the provisions required by Govern- ment Code Section 87302
	Contact Person Cristie C McGure Deputy City Attrney Name of Agency Office of City Attorney Mailing Address 202"C" Street - 3d Fl
	SAN Diego CA 92101
•	(Signature of Chief Executive Officer)

Note: Government dode Section 87306 requires that when an agency has determined that amendments are necessitated by changed circumstances, the amendments or revisions shall be submitted to the code reviewing body within 90 days.