

ALAMEDA COUNTY BOARD OF SUPERVISORS MINUTE ORDER

The following action was taken by the Alameda County Board of Supervisors on 11/22/2022

Approved as Recommended Other

Unanimous Brown: Haubert: Miley: Valle: Carson: -
Vote Key: N=No; A=Abstain; X=Excused

Documents accompanying this matter:

Documents to be signed by Agency/Purchasing Agent:

File No. _____
Item No. 69

Copies sent to:

Vanessa Lee, Transportation and Planning Commission (vlee@alamedactc.org)

Special Notes:



I certify that the foregoing is a correct copy of a Minute Order adopted by the Board of Supervisors, Alameda County, State of California.

ATTEST:
Clerk of the Board
Board of Supervisors

By: *Awka Campbell-Baltis*
Deputy



Commission Chair
Mayor John J. Bauters
City of Emeryville

Commission Vice Chair
Board President Elsa Ortiz
AC Transit

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Supervisor Richard Valle, District 2
Supervisor David Brown, District 3
Supervisor Nate Miley, District 4
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City of Union City
Mayor Carol Dutra-Vernaci

Executive Director
Tess Lengyel

November 1, 2022

Alameda County Board of Supervisors
1221 Oak Street, #536
Oakland, CA 94612

RE: Approve an Amendment to Alameda CTC's Conflict of Interest Code

Dear President Carson and members of the Board of Supervisors,

Alameda County Transportation Commission unanimously approved an amendment to its Conflict of Interest (COI) Code at its Commission meeting on May 26, 2022. This amendment was initiated to allow for electronic filing of Form 700 with the Clerk of the Alameda County Board of Supervisors and other administrative changes. Per this letter, staff requests that this amendment to Alameda County Transportation Commission's COI Code be placed on the agenda as an approval item for the next Board of Supervisors meeting scheduled in November.

Thank you for your consideration of this matter.

Sincerely,

Tess Lengyel
Executive Director
Alameda County Transportation Commission

Enclosure:
Amended Conflict of Interest Code
Redline copy of Conflict of Interest Code

cc: Vanessa Lee, Clerk of the Commission

**CONFLICT OF INTEREST CODE
OF THE ALAMEDA COUNTY TRANSPORTATION
COMMISSION (AS AMENDED ON _____
1, 2022)**

ARTICLE I: State Requirements Under The Political Reform Act

SECTION 1. Purpose. The Political Reform Act (Government Code Section 81000, *et seq.*) requires state and local government agencies to adopt and promulgate conflict of interest codes. The Fair Political Practices Commission (“FPPC”) has adopted a regulation (2 California Code of Regulations Section 18730) that contains the terms of a standard conflict of interest code, which can be incorporated by reference in an agency’s code. After public notice and hearing, the FPPC may amend this standard code to conform to amendments in the Political Reform Act. Therefore, the terms of 2 California Code of Regulations Section 18730 and any amendments to it duly adopted by the FPPC are hereby incorporated by reference. This regulation and the attached Appendix designating positions and defining disclosure categories shall constitute the Conflict of Interest Code (“Code”) of the Alameda County Transportation Commission (“Alameda CTC”).

SECTION 2. Designated Positions. The positions listed on Appendix A are designated positions. Officers, employees, members and consultants holding those positions are designated employees and are deemed to make, or participate in the making of, decisions which may foreseeably have a material effect on a financial interest of the designated employee. “Commission Member” for the purposes of this Code means any member or alternate of the Alameda CTC’s governing body. “Consultant” for the purposes of this Code shall have the meaning set forth in 2 California Code of Regulations Section 18700.3 (see Appendix B for the current version of 2 CCR §18700.3, along with 2 CCR §18704, as referenced therein).

SECTION 3. Filing Statements of Economic Interests. Individuals holding designated positions shall file statements of economic interests annually disclosing that individual’s business positions, income, investments, and interest in real property that are reportable pursuant to this Code. All such statements shall be filed in electronic form directly with the Clerk of the Alameda County Board of Supervisors, which shall be the filing officer, utilizing the electronic filing system established by Alameda County for such purpose. Commission Members are also responsible for separately filing a Form 700 for their home jurisdictions pursuant to the instructions provided by such jurisdiction. Commission Members who serve as Alameda County supervisors may file a single Form 700 covering both Alameda CTC and their position as supervisor.

SECTION 4. Disqualification. No designated employee may make, participate in the making, or in any way use or attempt to use his or her position with Alameda CTC to influence the making of any decisions which will foreseeably have a material financial effect, distinguishable from its effect on the public generally, on any reportable interest of that employee.

SECTION 5. Manner of Disqualification.

(a) Any Commission Member who is required to disqualify himself or herself from a decision-making process shall not participate in any way in the matter before the Commission or any committee of the Commission. Further, such Commission Member shall be subject to the requirements and procedures set forth in 2 California Code of Regulations Section 18707 if the Commission Member is seated as a member of the Commission or committee during a meeting thereof and a governmental decision on such a matter is listed on the meeting agenda (see Appendix B for the current version of 2 CCR §18707). As of the date hereof, such procedures include the obligation to publicly recuse himself or herself and leave the room after making the identification required by said regulation, subject to certain exceptions as set forth in such regulation.

(b) Any designated employee who is required to disqualify himself or herself from a decision-making process shall notify the Executive Director of Alameda CTC (if the Executive Director requires disqualification, such notification shall be made to the Commission Chair) in writing of the reason for the disqualification. A copy of this notice shall be filed with the Clerk of the Commission. Upon receipt of a designated employee's disqualification statement, the Executive Director shall immediately reassign the responsibility for the matter to another designated employee of the office.

SECTION 6. No Disqualification Required if Participation is Necessary. A designated employee may make or participate in the making of a decision when he or she has a financial interest which would otherwise require disqualification if his or her participation is legally required for the decision to be made as defined in California Code of Regulations Title 2, Division 6, Section 18701. The fact that the vote of a designated employee is needed to break a tie does not make his or her participation legally required for the purposes of this section.

SECTION 7. Assistance of the FPPC and Legal Counsel. Any Commission Member or designated employee who is unsure of his or her duties under this code may request assistance from the FPPC pursuant to Section 83314 and Regulations 18329 and 18329.5, or from Alameda CTC's Legal Counsel, provided that nothing in this section requires Legal Counsel to issue any formal or informal opinion.

SECTION 8. 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. In addition, if a court determines that a violation of the disqualification provisions of this Code has occurred and that the official action might not otherwise have been taken or approved, the decision in relation to which a violation has occurred may be set aside as void pursuant to Government Code Section 91003.

SECTION 9. Effective Date. This Conflict of Interest Code and the Appendix shall become effective upon approval by the Alameda County Board of Supervisors, as the code reviewing body. The initial disclosure statements required under this Code shall be filed on April 1, 2023.

ARTICLE II: Additional Alameda CTC Requirements

SECTION 1. Purpose. Alameda CTC recognizes that certain conflict of interest issues may arise that are not governed by the Political Reform Act or the FPPC regulations referenced above. The provisions in this **Article II** are intended to address such issues.

SECTION 2. Campaign Contribution Disclosure; Levine Act. The Levine Act, Government Code Section 84308, prohibits Commission Members from accepting, soliciting, or directing contributions (as defined in Government Code §82015) of more than Two Hundred Fifty Dollars (\$250) from any party who has a financial interest in any proceeding involving a license, permit, or other entitlement for use that is pending before the Commission and for three (3) months following the date a final decision is rendered in the proceeding. A party has a financial interest in a decision if it is reasonably foreseeable that the decision will have a material financial effect, distinguishable generally, on the party, a member of the party's immediate family, or on income, investments, business positions or interests in real property that are described in Appendix A, Category 2. For purposes of this Section, "contribution" shall mean a political contribution to a person who is running for, or serving in, any elective office.

(a) Participants in Proceedings Pending Before the Commission. In the event Alameda CTC staff and/or independent members of a screening committee (which does not include Commission Members) evaluates and screens proposals submitted in response to a Request For Proposal or Qualifications and compiles a short list of firms to be considered by the Commission, only the proposals that the staff submits to Commission Members for consideration shall be considered a part of a proceeding pending before the Commission. Only persons or entities on the short list will be considered involved in a proceeding before the Commission or any committee of the Commission.

(b) Notice to Commission Members. To facilitate compliance with the Levine Act, the Commission staff shall include as part of the Commission Members' agenda packets for Commission Meetings and committee meetings information described in (i) and (ii) of this subsection regarding each application for a license, permit, or other entitlement for use that will be considered by the Board or such committee. "License, permit, or other entitlement for use" shall include all business, professional, trade and land use licenses and permits and all other entitlements for use, including all entitlements for land use, all contracts for goods or services (other than competitively bid, or labor, or personal employment contracts), and all franchises.

(i) The name of the persons or entities that submitted the application for a license, permit or other entitlement for use ("applicant"). The term "applicant" shall include any owner, manager or employee, who acts as an agent of the applicant with respect to the application;

(ii) To the extent known by staff, the name of each person who

actively supports or opposes a decision in the proceeding before the Commission involving a license, permit, or other entitlement for use and who has a financial interest in the decision such persons are referred to herein as "participants" in a decision. The term "participant" shall include any owner, manager or employee who acts as an agent of the participant with respect to the application. Lobbying Commission Members or Alameda CTC staff by direct communication (either in person or in writing), testifying in person before the Commission, or otherwise acting to influence Commission Members shall constitute active support of or opposition to a decision pending before the Commission.

In the event Alameda CTC staff and/or independent committee compiles a short list of firms, the Proposal Data Form will contain information on only those firms that comprise the short list.

(c) Notice to Applicants and Participants. As part of any Request For Proposal or Qualification, or any other solicitation process, Alameda CTC staff shall provide all applicants and participants a statement that contains the information described in i) and ii) of subsection b). When a close corporation, as defined in Corporations Code Section 158, is an applicant or participant, the majority shareholder is subject to the Levine Act's disclosure and prohibition requirements. Generally, a close corporation is a corporation whose issued shares are owned by not more than ten (10) persons.

(i) All applicants and participants, and their respective agents, shall notify Alameda CTC, either in writing prior to a proceeding before the Commission involving a license, permit, or other entitlement for use or orally during said proceeding, of any contribution of more than Two Hundred Fifty Dollars (\$250) made within the preceding twelve (12) months by the applicant or participant, or his or her agent, to any Commission Member.

(ii) Applicants and participants, and their agents, shall not make contributions of more than Two Hundred Fifty Dollars (\$250) to any Commission Member during a proceeding involving a license, permit, or other entitlement for use pending before the Commission and for three (3) months following the date a final decision is rendered by the Commission in the proceeding.

(d) Limitations on Receiving Contributions. While a proceeding involving a license, permit, or other entitlement for use is pending before the Commission and for three (3) months following the date a final decision is rendered in the proceeding, Commission Members shall not accept, solicit, or direct a contribution of more than Two Hundred Fifty Dollars (\$250) from any applicant or participant who has a financial interest in the decision. This prohibition shall apply regardless of whether the Commission Member accepts, solicits, or directs the contribution for himself, or on behalf of any other Commission Member, or on behalf of any candidate for office or on behalf of any committee.

(e) Disclosure of Conflict. Before the Commission renders a decision in a proceeding involving a license, permit, or other entitlement for use, each

Commission Member shall disclose orally at the time of the proceeding, or in a writing delivered to the Clerk of the Commission at any time prior to the proceeding, any contributions of more than Two Hundred Fifty Dollars (\$250) that the Commission Member has received within the preceding twelve (12) months from any applicant or participant involved in the proceeding before the Commission.

(f) **Disqualification from Participating in a Proceeding.** No Commission Member shall make, participate in making, or in any way attempt to use his or her position in the Commission to influence a decision in a proceeding pending before the Commission or committee of the Commission involving a license, permit, or other entitlement for use if the Commission Member has received a contribution of more than Two Hundred Fifty Dollars (\$250) within the preceding twelve (12) months from an applicant involved in the proceeding before the Commission or a participant who has a financial interest in the decision. A Commission Member who received a contribution which would otherwise require disqualification may participate in the proceeding if he or she returns the contribution within thirty (30) days from the time the Commission Member knows, or should have known, about both the making of the contribution or participant's participation in the proceeding involving the license, permit, or other entitlement for use.

(g) If a Commission Member is so disqualified from participation in any decision, that Commission Member shall not participate in any way in the matter before the Commission or any committee of the Commission. Further, such Commission Member shall be subject to the requirements and procedures set forth in 2 California Code of Regulations Section 18707 if the Member is seated as a member of the Commission or committee and a governmental decision on such a matter is listed on the agenda thereof (see Appendix B for the current version of 2 CCR §18707). As of the date hereof, such procedures include the obligation to publicly recuse himself or herself and leave the room after making the identification required by said regulation, subject to certain exceptions as set forth in such regulation.

SECTION 3. Alameda CTC Officers and Employees Running for Elected Office or Serving as an Elected Official. Pursuant to Government Code Section 3203, Alameda CTC is not permitted to restrict its officers and employees' political activities, except to the extent required by other applicable law. Accordingly, any officer or employee of Alameda CTC is permitted to run for elected office. However, Alameda CTC believes it is appropriate to impose certain reporting and recusal requirements upon such officers and employees, consistent with the requirements set forth above with respect to Commission Members' obligations under the Levine Act.

(a) **Campaign Disclosures.** If any Alameda CTC officer or employee is required under any applicable law to make any campaign-related filings with any City, County, or other governmental agency located completely or partially within Alameda County, and/or with the FPPC, the officer or employee shall simultaneously provide copies of any such filing(s) to the Clerk of the Commission. The foregoing obligation shall also apply with respect to campaign-related filings made by or on behalf of any committee controlled by an Alameda CTC officer or employee. The Clerk of the Commission shall make and retain a copy of any such campaign filings.

(b) Disqualification from Participating in a Proceeding. No Alameda CTC officer or employee shall participate in making, or in any way attempt to use his or her position with Alameda CTC to influence a decision in a proceeding pending before the Commission or committee of the Commission involving a license, permit, or other entitlement for use if the officer or employee has received a contribution of more than Two Hundred Fifty Dollars (\$250) within the preceding twelve (12) months from an applicant involved in the proceeding before the Commission or a participant who has a financial interest in the decision.

**APPENDIX A
DESIGNATED EMPLOYEES AND DISCLOSURE
CATEGORIES**

Designated Employees

The following positions entail the making or participating in the making of decisions which may foreseeably have a material effect on financial interests.

Position	Disclosure Categories
Commission Member	1 & 2
Executive Director	1 & 2
Deputy Executive Director of Projects and Programming	1 & 2
Deputy Executive Director of Planning and Policy	1 & 2
Deputy Executive Director of Finance and Administration	1 & 2
Director of Finance	4 & 6
Director of Programming and Project Controls	2, 3, 4 & 5
Director of Project Delivery	2, 3, 4 & 5
Director of Express Lane Operations	3 & 4
Director of Budgets and Administration	4 & 6
Director of Planning	2, 3, 4 & 5
Director of Government Affairs and Communications	4 & 5
Legal Counsel	1 & 2
Consultant*	as determined by the Executive Director

~~Advisory Committee Members (all) and Independent Watchdog Committee Members (all)~~ ~~2, 3, 4 & 5~~

* Consultants, as defined in 2 California Code of Regulations §18700.3, shall be included in the list of designated employees. Not all outside contractors are considered to be Consultants under this Regulation, since it depends on the contractor's particular

scope of work. Further, the Executive Director may determine in writing that a particular Consultant is hired to perform a range of duties that is limited in scope and thus it may be appropriate to assign one or more of the limited disclosure requirements set forth below. The Executive Director's determination designating a specific contractor as a Consultant and assigning one or more specific disclosure categories, which determination may be made utilizing FPPC Form 805, is a public record and shall be retained for public inspection in the same manner and locator as this Code.

Disclosure Categories

The disclosure categories listed below identify the types of economic interests that the designated position must disclose for each disclosure category to which he or she is assigned. Such economic interests are reportable if they are either located in or doing business in the jurisdiction, are planning to do business in Alameda County, or have done business during the previous two years in Alameda County.

Category 1: All investments and business positions in business entities and sources of income (including gifts, loans and travel payments) that do business or own real property within Alameda County.

Category 2: All interests in real property which is located in whole or in part within, or not more than two miles outside, the boundaries of Alameda County.

Category 3: All investments and business positions in business entities and sources of income (including gifts, loans and travel payments) that are engaged in land development, construction or the acquisition or sale of real property within Alameda County.

Category 4: All investments and business positions in business entities and sources of income (including gifts, loans and travel payments) that provide services, products, materials, machinery, vehicles or equipment of a type purchased or leased by Alameda CTC.

Category 5: All investments and business positions in business entities and sources of income (including gifts, loans and travel payments), including income from nonprofits or similar organizations, if the source is of the type to receive grants or similar funding from or through Alameda CTC.

Category 6: All investments and business positions in business entities, and sources of income, including gifts, loans, and travel payments, if the source is of the type of firm in or with which Alameda CTC is empowered to invest its funds, or the source has during the reporting period filed a claim or currently has a claim pending with Alameda CTC.

**APPENDIX B
EXCERPTS FROM FPPC REGULATIONS AS OF THE ADOPTION
HEREOF**

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

§ 18700.3. Consultant, Public Official Who Manages Public Investments: Definitions.

(a) For purposes of Sections 82019 and 82048, “consultant” means an individual who, pursuant to a contract with a state or local government agency:

(1) Makes a governmental decision whether to:

(A) Approve a rate, rule, or regulation;

(B) Adopt or enforce a law;

(C) Issue, deny, suspend, or revoke any permit, license, application, certificate, approval, order, or similar authorization or entitlement;

(D) Authorize the agency to enter into, modify, or renew a contract provided it is the type of contract that requires agency approval;

(E) Grant agency approval to a contract that requires agency approval and to which the agency is a party, or to the specifications for such a contract;

(F) Grant agency approval to a plan, design, report, study, or similar item;

(G) Adopt, or grant agency approval of, policies, standards, or guidelines for the agency, or for any subdivision thereof; or

(2) Serves in a staff capacity with the agency and in that capacity participates in making a governmental decision as defined in Regulation 18704(a) and (b) or performs the same or substantially all the same duties for the agency that would otherwise be performed by an individual holding a position specified in the agency's Conflict of Interest Code under Section 87302.

(b) For purposes of Section 87200, the following definitions apply:

(1) "Other public officials who manage public investments" means:

(A) Members of boards and commissions, including pension and retirement boards or commissions, or of committees thereof, who exercise responsibility for the management of public investments;

(B) High-level officers and employees of public agencies who exercise primary responsibility for the management of public investments, such as chief or principal investment officers or chief financial managers. This category shall not include officers and employees who work under the supervision of the chief or principal investment officers or the chief financial managers; and

(C) Individuals who, pursuant to a contract with a state or local government agency, perform the same or substantially all the same functions that would otherwise be performed by the public officials described in subdivision (b)(1)(B).

(c) "Public investments" means the investment of public moneys in real estate, securities, or other economic interests for the production of revenue or other financial return.

(d) "Public moneys" means all moneys belonging to, received by, or held by, the state, or any city, county, town, district, or public agency therein, or by an officer thereof acting in the officer's official capacity, and includes the proceeds of all bonds and other evidences of indebtedness, trust funds held by public pension and retirement systems, deferred compensation funds held for investment by public agencies, and public moneys held by a financial institution under a trust indenture to which a public agency is a party.

(e) "Management of public investments" means the following nonministerial functions: directing the investment of public moneys; formulating or approving investment policies; approving or establishing guidelines for asset allocations; or approving investment transactions.

Note: Authority cited: Section 83112, Government Code. Reference: Sections 82019, 82048, 87100, 87200 and 87302, Government Code.

HISTORY

1. New section filed 6-22-2015; operative 7-22-2015. Submitted to OAL for filing and printing only pursuant to *Fair Political Practices Commission v. Office of Administrative Law*, 3 Civil C010924, California Court of Appeal, Third Appellate District, nonpublished decision, April 27, 1992 (FPPC regulations only subject to 1974 Administrative Procedure Act rulemaking requirements and not subject to procedural or substantive review by OAL) (Register 2015, No. 26). For prior history, see Register 2015, No. 18.
2. Amendment of subsection (a)(2) filed 7-10-2015; operative 7-10-2015 pursuant to section 18312(e)(1)(A), title 2, California Code of Regulations. Submitted to OAL for filing pursuant to *Fair Political Practices Commission v. Office of Administrative Law*, 3 Civil C010924, California Court of Appeal, Third Appellate District, nonpublished decision, April 27, 1992 (FPPC regulations only subject to 1974 Administrative Procedure Act rulemaking requirements and not subject to procedural or substantive review by OAL) (Register 2015, No. 28).
3. Amendment of subsection (d) filed 5-12-2021; operative 6-11-2021 pursuant to Cal. Code Regs., tit. 2, section 18312(e). Submitted to OAL for filing pursuant to *Fair Political Practices Commission v. Office of Administrative Law*, 3 Civil C010924, California Court of Appeal, Third Appellate District, nonpublished decision, April 27, 1992 (FPPC regulations only subject to 1974 Administrative Procedure Act rulemaking requirements and not subject to procedural or substantive review by OAL) (Register 2021, No. 20).

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

§ 18704. Making, Participating in Making, or Using or Attempting to Use Official Position to Influence a Government Decision, Defined.

(a) **Making a Decision.** A public official makes a governmental decision if the official authorizes or directs any action, votes, appoints a person, obligates or commits the official's agency to any course of action, or enters into any contractual agreement on behalf of the official's agency.

(b) **Participating in a Decision.** A public official participates in a governmental decision if the official provides information, an opinion, or a recommendation for the purpose of affecting the decision without significant intervening substantive review.

(c) **Using Official Position to Attempt to Influence a Decision.** A public official uses an official position to influence a governmental decision if the official:

(1) Contacts or appears before any official in the official's agency or in an agency subject to the authority or budgetary control of the official's agency for the purpose of affecting a decision; or

(2) Contacts or appears before any official in any other government agency for the purpose of affecting a decision, and the public official acts or purports to act within the official's authority or on behalf of the official's agency in making the contact.

(d) **Exceptions.** Making, participating in, or influencing a governmental decision does not include:

(1) **Ministerial.** Actions by a public official that are solely ministerial, secretarial, or clerical.

(2) Appearances as a Member of the General Public. An appearance by a public official as a member of the general public before an agency in the course of its prescribed governmental function if the official is appearing on matters related solely to the official's personal interests, including interests in:

(A) Real property owned entirely by the official, members of the official's immediate family, or the official and members of the official's immediate family;

(B) A business entity owned entirely by the official, members of the official's immediate family, or the official and members of the official's immediate family; or

(C) A business entity over which the official, members of the official's immediate family, or the official and members of the official's immediate family solely or jointly exercise full direction and control.

(3) Terms of Employment. Actions by a public official relating to compensation or the terms or conditions of the official's employment or consulting contract. However, an official may not make a decision to appoint, hire, fire, promote, demote, or suspend without pay or take disciplinary action with financial sanction against the official or the official's immediate family, or set a salary for the official's or the official's immediate family different from salaries paid to other employees of the government agency in the same job classification or position.

(4) Public Speaking. Communications by a public official to the general public or media.

(5) Academic Decisions.

(A) Teaching decisions, including an instructor's selection of books or other educational materials at the instructor's own school or institution, or other similar decisions incidental to teaching; or

(B) Decisions by a public official who has teaching or research responsibilities at an institution of higher education relating to the official's professional responsibilities, including applying for funds, allocating resources, and all decisions relating to the manner or methodology with which the official's academic study or research will be conducted. This exception does not apply to a public official who has institution-wide administrative responsibilities as to the approval or review of academic study or research at the institution unrelated to the official's own work.

(6) Architectural and Engineering Documents.

(A) Drawings or submissions of an architectural, engineering, or similar nature prepared by a public official for a client to submit in a proceeding before the official's agency if:

(i) The work is performed pursuant to the official's profession; and

(ii) The official does not make any contact with the agency other than contact with agency staff concerning the process or evaluation of the documents prepared by the official.

(B) An official's appearance before a design or architectural review committee or similar body of which the official is a member to present drawings or submissions of an architectural, engineering, or similar nature prepared for a client if:

(i) The review committee's sole function is to review architectural designs or engineering plans and to make recommendations to a planning commission or other agency;

(ii) The review committee is required by law to include architects, engineers or persons in related professions, and the official was appointed to the body to fulfill this requirement; and

(iii) The official is a sole practitioner.

(7) Additional Consulting Services: Recommendations by a consultant regarding additional services for which the consultant or consultant's employer would receive additional

income if the agency has already contracted with the consultant, for an agreed upon price, to make recommendations concerning services of the type offered by the consultant or consultant's employer and the consultant does not have any other economic interest, other than in the firm, that would be foreseeably and materially affected by the decision.

Note: Authority cited: Section 83112, Government Code. Reference: Sections 87100, 87101 and 87302, Government Code.

HISTORY

1. Change without regulatory effect renumbering former section 18702 to section 18704, including amendment of section heading and section, filed 4-27-2015. Submitted to OAL for filing pursuant to *Fair Political Practices Commission v. Office of Administrative Law*, 3 Civil C010924, California Court of Appeal, Third Appellate District, nonpublished decision, April 27, 1992 (FPPC regulations only subject to 1974 Administrative Procedure Act rulemaking requirements and not subject to procedural or substantive review by OAL) (Register 2015, No. 18). For prior history of section 18704, see Register 2015, No. 6.

2. Repealer and new section and amendment of Note filed 6-22-2015; operative 7-22-2015. Submitted to OAL for filing and printing only pursuant to *Fair Political Practices Commission v. Office of Administrative Law*, 3 Civil C010924, California Court of Appeal, Third Appellate District, nonpublished decision, April 27, 1992 (FPPC regulations only subject to 1974 Administrative Procedure Act rulemaking requirements and not subject to procedural or substantive review by OAL) (Register 2015, No. 26).

3. Amendment of subsections (a), (c)-(c)(2), (d)(2)-(d)(3) and (d)(5)(A)-(B) filed 5-12-2021; operative 6-11-2021 pursuant to Cal. Code Regs., tit. 2, section 18312(e). Submitted to OAL for filing pursuant to *Fair Political Practices Commission v. Office of Administrative Law*, 3 Civil

C010924, California Court of Appeal, Third Appellate District, nonpublished decision, April 27, 1992 (FPPC regulations only subject to 1974 Administrative Procedure Act rulemaking requirements and not subject to procedural or substantive review by OAL) (Register 2021, No. 20).

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

§ 18707. Disqualification Requirements.

(a) **Public Meeting Decisions Involving Officials Specified in Section 87200.** A public official in a position specified in Section 87200 and disqualified from a decision relating to an agenda item noticed for consideration at a public meeting subject to either the Bagley-Keene Act (Section 11120 et seq.) or the Brown Act (Section 54950 et seq.) must not take part in the decision. The official's recusal from the decision shall meet all of the following requirements:

(1) **Form and Content of Public Identification.** The official must publicly identify each type of financial interest held by the official that gives rise to the conflict of interest (i.e. business entity, real property, source of income, gift(s) or a personal financial effect).

(A) For each financial interest identified, the official must provide the following, as applicable:

(i) Name of the business entity, general description of the business' activity, and any position held.

(ii) Real property address, assessor's number, or identification that the property is the official's personal residence.

(iii) Name of the source of income.

(iv) Name of the source of a gift.

(v) The nature of the expense, liability, asset, or income affected.

(B) Identification must be oral and made part of the public record.

(2) **Timing.** Public identification of the financial interest must be made immediately prior to consideration of the agenda item. Partial absence from a meeting does not excuse the official's

public identification requirement. If an official leaves a meeting in advance of the agenda item in which the official is disqualified, the official must publicly identify the agenda item and the financial interest prior to leaving the meeting. An official first joining a meeting after the consideration of an agency item in which the official is disqualified must publicly identify the agenda item and the financial interest immediately upon joining the meeting.

(3) Recusal and Leaving the Room. The official must follow the recusal procedure, leave the room after the identification required by this regulation is made, and refrain from any participation in the decision. The official will not be counted toward achieving a quorum while the item is discussed.

(A) For an agenda item on a consent calendar (uncontested items), the official may remain in the room during the consent calendar.

(B) If an official has a personal interest in the agenda item as defined in Regulation 18704(d)(2) and wishes to speak or appear as a member of the general public, following the public identification of the financial interest and recusal the official may leave the dais and speak or observe from the area reserved for members of the public.

(4) Special Rules for Closed Session. The public identification must be made orally during the open session before the body goes into closed session and may be limited to a declaration that the official's recusal is because of a conflict of interest under Section 87100. The declaration will be made part of the official public record. The official must not be present when the decision is considered in closed session or knowingly obtain or review a recording or any other non-public information regarding the governmental decision.

(b) Other Decisions. A public official disqualified from any decision other than a decision under subdivision (a) must not take part in the decision, and the official's recusal from the decision must meet the following requirements:

(1) If an official determines not to act because of a financial interest, the official's determination may be accompanied by an oral or written disclosure of the financial interest.

(2) The official's presence will not be counted toward achieving a quorum. .

(3) During a closed meeting of the agency, a disqualified official must not be present when the decision is considered or knowingly obtain or review a recording or any other nonpublic information regarding the governmental decision.

(4) An agency may adopt a local rule requiring the official to step down from the dais or leave the chambers.

(c) Confidential Information. Nothing in the provisions of this regulation is intended to cause an agency or public official to make any disclosure that would reveal the confidences of a closed session or any other privileged information as contemplated by law including, but not limited to, the recognized privileges found in Regulation 18740.

Note: Authority cited: Section 83112, Government Code. Reference: Sections 87100, 87101, 87103, 87105 and 87200, Government Code.

HISTORY

1. New section filed 6-22-2015; operative 7-22-2015. Submitted to OAL for filing and printing only pursuant to *Fair Political Practices Commission v. Office of Administrative Law*, 3 Civil C010924, California Court of Appeal, Third Appellate District, nonpublished decision, April 27, 1992 (FPPC regulations only subject to 1974 Administrative Procedure Act rulemaking

requirements and not subject to procedural or substantive review by OAL) (Register 2015, No. 26). For prior history, see Register 2015, No. 21.

2. Repealer and new section filed 7-23-2020; operative 8-22-2020 pursuant to Cal. Code Regs., tit. 2, section 18312(e). Submitted to OAL for filing pursuant to *Fair Political Practices Commission v. Office of Administrative Law*, 3 Civil C010924, California Court of Appeal, Third Appellate District, nonpublished decision, April 27, 1992 (FPPC regulations only subject to 1974 Administrative Procedure Act rulemaking requirements and not subject to procedural or substantive review by OAL) (Register 2020, No. 30).

3. Amendment of subsections (a), (a)(3) and (b) filed 5-12-2021; operative 6-11-2021 pursuant to Cal. Code Regs., tit. 2, section 18312(e). Submitted to OAL for filing pursuant to *Fair Political Practices Commission v. Office of Administrative Law*, 3 Civil C010924, California Court of Appeal, Third Appellate District, nonpublished decision, April 27, 1992 (FPPC regulations only subject to 1974 Administrative Procedure Act rulemaking requirements and not subject to procedural or substantive review by OAL) (Register 2021, No. 20).