

CONFLICT OF INTEREST CODE  
FOR THE  
STATE WATER RESOURCES CONTROL BOARD

The Political Reform Act (Gov. Code, § 81000, et seq.) requires state and local government agencies to adopt and promulgate conflict of interest codes. The Fair Political Practices Commission has adopted a regulation (Cal. Code Regs., tit. 2, § 18730) which can be incorporated by reference in an agency's code. After public notice and hearing it may be amended by the Fair Political Practices Commission to conform to amendments in the Political Reform Act. Therefore, the terms of Title 2, California Code of Regulations, section 18730 and any amendments to it duly adopted by the Fair Political Practices Commission are hereby incorporated by reference. This regulation and the attached Appendix designating officials and employees and establishing disclosure categories, shall constitute the conflict of interest code of the State Water Resources Control Board (State Water Board).

Designated employees shall file statements of economic interests with the State Water Board who will make the statements available for public inspection and reproduction. (Gov. Code, § 81008.) Upon receipt of the statements of the State Board Executive Director and the State Water Board Members, the State Water Board shall make and retain a copy and forward the original of these statements to the Fair Political Practices Commission. Statements for all other designated employees shall be retained by the State Water Board.

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## CONFLICT OF INTEREST CODE FOR THE STATE WATER RESOURCES CONTROL BOARD

### APPENDIX

<b>DESIGNATED POSITIONS</b>		<b>DISCLOSURE CATEGORIES</b>
<b>I.</b>	<b>STATE WATER RESOURCES CONTROL BOARD</b>	
<b>A.</b>	<b>Executive</b>	
1.	State Board Members	1
2.	Executive Director	1
3.	Chief Deputy Director(s)	1
4.	Clerk to the Board	2
5.	Staff Services Manager I	2
<b>B.</b>	<b>Office of Research Planning and Performance</b>	
1.	Director	1
2.	Assistant Director	1
3.	Director, Training Academy	1
4.	Academy Course Coordinator	1
5.	Academy Administrator	1
6.	Economist	1
7.	Administrative Support	2

<b>DESIGNATED POSITIONS</b>		<b>DISCLOSURE CATEGORIES</b>
<b>C.</b>	<b>Office of Public Participation</b>	
	1. Director	1
<b>D.</b>	<b>Office of Legislative Affairs</b>	
	1. Director	1
	2. Staff Services Manager	2
<b>E.</b>	<b>Office of Enforcement</b>	
	1. Director	1
	2. All Attorneys	1
	3. Unit Supervisors	1
	4. Administrative Support	2
<b>F.</b>	<b>Division of Information Technology</b>	
	1. Deputy Director	8
	2. Assistant Deputy Director	8
	3. Supervisors	8
	4. Administrative Officer	2
<b>G.</b>	<b><u>Office of Information Management and Analysis</u></b>	
	1. Director	1
	2. Assistant Deputy Director	1
	3. Administrative Officer	2
<b>H.</b>	<b><u>Division of Water Quality</u></b>	
	1. Deputy Director	1
	2. Assistant Deputy Director(s)	1
	3. All Section Supervisors	1
	4. Manager, Administrative Support Services	2
<b>I.</b>	<b><u>Division of Administrative Services</u></b>	
	1. Deputy Director	2
	2. Assistant Deputy Director	2
	3. Branch Chiefs	2
	4. Administrative Officer	2
	5. Chief, Business Management and Support Branch	2
	6. Professional Staff, Contracts, Business Management and Special Projects Sections	2
	7. Supervisor, Telecommunications Section	2

DESIGNATED POSITIONS		DISCLOSURE CATEGORIES
8.	Filing Officer (defined in Government Code section 82027)	9
<b>J</b>	<b><u>Division of Water Rights</u></b>	
1.	Deputy Director	1
2.	Assistant Deputy Director	1
3.	Chief, Permitting Section	3,4
4.	Chief, Enforcement Section	3
5.	Chief, Hearings and Special Project Section	1
6.	Supervisor, Administrative Support Unit	2
<b>K.</b>	<b><u>Division of Financial Assistance</u></b>	
1.	Deputy Director	1
2.	Assistant Deputy Director	1
3.	All Section Chiefs	1
4.	All Unit Managers	1
5.	All Unit Supervisors	1
<b>L.</b>	<b><u>Office of the Chief Counsel</u></b>	
1.	Chief Counsel	1
2.	All Attorneys	1
3.	Administrative Liaison	2
<b>M.</b>	<b><u>Office of Public Affairs</u></b>	
1.	Director	1
<b>II.</b>	<b>REGIONAL WATER QUALITY CONTROL BOARDS</b>	
<b>A.</b>	<b>All Regional Board Members</b>	1
<b>B.</b>	<b>Region 1</b>	
1.	Executive Officer	1
2.	Assistant Executive Officer(s)	1
3.	All Division Chiefs (except Administrative Division)	1
4.	All Unit Supervisors	1
5.	Chief, Administrative Division	2

<b>DESIGNATED POSITIONS</b>	<b>DISCLOSURE CATEGORIES</b>
<b>C. Region 2</b>	
1. Executive Officer	1
2. Assistant Executive Officer(s)	1
3. All Division Chiefs (except Management Services)	1
4. All Section Leaders	1
5. All Non-supervising seniors	1
6. All Staff Environmental Scientists	1
6. Chief, Management Services Division	2
<b>D. Region 3</b>	
1. Executive Officer	1
2. Assistant Executive Officer	1
3. All Section Managers	1
4. All Unit Supervisors (except Administrative Services)	1
5. Supervisor, Administrative Services Unit	2
<b>E. Region 4</b>	
1. Executive Officer	1
2. Chief Deputy Executive Officer	1
3. Assistant Executive Officer(s)	
4. All Section Chiefs (except Administrative Services)	1
5. All Unit Supervisors	1
6. Watershed Coordinator	1
7. Staff Environmental Scientist, Contaminated Sediment	1
8. Senior Environmental Planner	1
9. Staff Environmental Scientist, Basin Planning & TMDL Programs	1
10. Staff Environmental Scientist, Santa Monica Bay Restoration Commission	1
11. Chief, Administrative Services	2
<b>F. Region 5</b>	
1. Executive Officer	1
2. Assistant Executive Officer(s)	1
3. All Section Supervisors (except Administrative Support Services/Technical Support)	1

<b>DESIGNATED POSITIONS</b>		<b>DISCLOSURE CATEGORIES</b>
4.	All Unit Seniors	1
5.	All Non-supervising Seniors	1
6.	Supervisor(s), Administrative Support Services	2
<b>G.</b>	<b>Region 6</b>	
1.	Executive Officer	1
2.	Assistant Executive Officer	1
4.	All Division Chiefs	1
5.	All Unit Supervisors (except Administrative Support Services)	1
6.	Regional Monitoring Coordinator	1
7.	Watershed Management Initiative Coordinator	1
8.	Supervisor, Administrative Support Services	2
<b>H.</b>	<b>Region 7</b>	
1.	Executive Officer	1
2.	Assistant Executive Officer	1
3.	All Division Chiefs	1
4.	All Section Supervisors (except Administrative and Support Services)	1
5.	Non-Supervising Senior (Specialist)	1
6.	Supervisor, Administrative Support Services	2
<b>I.</b>	<b>Region 8</b>	
1.	Executive Officer	1
2.	Assistant Executive Officer	1
3.	All Branch Chiefs	1
4.	All Section Supervisors (except Administrative Support Services)	1
5.	Supervisor, Administrative Services	2
<b>J.</b>	<b>Region 9</b>	
1.	Executive Officer	1
2.	Assistant Executive Officer	1
3.	All Branch Chiefs	1

<b>DESIGNATED POSITIONS</b>		<b>DISCLOSURE CATEGORIES</b>
4.	All Unit Supervisors (Except Business Support Services)	1
		1
5.	Senior Specialist, Monitoring and Surveillance	1
6.	Information Systems Analyst	8
7.	Staff Services Analyst, Administrative Services	2
8.	Supervisor, Business Support Services	2
<b>K.</b>	<b>Consultant*</b>	1

\* Consultants shall be included in the list of designated employees and shall disclose pursuant to the broadest disclosure category in the code subject to the following limitation:

The Executive Director or Executive Officer may determine in writing that a particular consultant, although a "designated position," is hired to perform a range of duties that is limited in scope and thus is not required to fully comply with the disclosure requirements described in this section. Such written determination shall include a description of the consultant's duties and, based upon that description, a statement of the extent of disclosure requirements. The executive director's or executive officer'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.

## DISCLOSURE CATEGORIES

Disclosure categories applied to members, officers and employees of Regional Water Quality Control Boards refer to the jurisdiction of the applicable Regional Water Quality Control Board as set forth in Water Code sections 13200 and 13260(a). Disclosure categories applied to members, officers and employees of the State Water Resources Control Board refer to the jurisdiction of the State Water Resources Control Board which is the entire State of California. Notwithstanding this limitation of disclosure categories, disclosure of a financial interest outside the jurisdiction of the applicable State or Regional Water Board (for example, the identity of the donor of certain gifts) may be required by statute or regulation.

### *Category 1*

All investments and business positions in business entities, interest in real property and sources of income.

### *Category 2*

- (a) Any source of income and any investment and business positions in a business entity, which source of income or business entity is of a type which contracts with the State Board or a Regional Board to provide services, supplies, materials, machinery or equipment.
- (b) All interests in real property.

### *Category 3*

- (a) Any source of income and any investment and business positions in a business entity which source of income or business entity holds a water right entitlement from the State Board as well as any source of income and any investment in a business entity which is an applicant for a water right entitlement from the State Board.
- (b) Any interest in real property for which the application for a water right entitlement has been made or for which a water right entitlement has been obtained.

### *Category 4*

- (a) Any source of income and any investment and business positions in a business entity which source of income or business entity is a party to a court reference proceeding or is a claimant of a right in a statutory adjudication proceeding.
- (b) Any interest in real property with respect to which water rights are being adjudicated in a court reference proceeding or in a statutory adjudication proceeding.

*Category 5*

Any source of income and any investment and business positions in a business entity, which source of income or business entity engages in the design or construction of municipal wastewater treatment facilities or manufactures equipment for use in municipal wastewater treatment facilities.

*Category 6*

Any source of and any investment and business positions in a business entity which source of income or business entity provides research, planning or environmental impact reporting services related to water supply or water quality.

*Category 7*

- (a) Any source of income and any investments and business positions in a business entity which source of income or business entity engages in the provision of training courses which may serve as experience equivalents in accordance with sections 2481(d) and (e) of the State Board's regulations (Tit. 23, Cal Code Regs.), regarding operator training and certification.
- (b) Any source of income from any holder of, or applicant for, a wastewater treatment plant operator certificate pursuant to Chapter 14 of the State Board's regulations (Tit. 23, Cal Code Regs. Tit. 23, Cal Code Regs).

*Category 8*

Any source of income and any investment and business positions in a business entity, which source of income or business entity is of a type which contracts with the State Board or a Regional Board to provide computer related services, supplies, materials, machinery or equipment.

*Category 9*

Any source of income from any person who is a State Board or Regional Water Board Member, officer or employee who holds a position on the Designated Positions list of this Conflict of Interest Code.

NOTE: Authority Cited: Sections 87300, 87304, Government Code.  
Reference: Sections 87300, et seq., Government Code.

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Given the limited and particular application of these regulations, it has been determined that these regulations shall not be set forth in full in the California Code of Regulations, but that appropriate reference be made therein pursuant to Government Code section 11344. These regulations are available to the public for review or purchase at cost at the following locations:

State Water Resources Control Board  
Personnel Officer  
1001 I Street, 18<sup>th</sup> Floor  
P.O. Box 100 [95812-0100]  
Sacramento, California 95814

Fair Political Practices Commission  
428 J Street, Suite 800  
P.O. Box 807  
Sacramento, California 95804

Archives  
Secretary of State  
1020 O Street  
Sacramento, California 95814