

- **Board of Directors**
Ethics Committee

February 8, 2005 Board Meeting

7-5

Subject

Amend Ethics Policy in Administrative Code to comply with current rules and regulations

Description

Metropolitan retained Steven Churchwell, former general counsel to the state of California Fair Political Practices Commission (FPPC), to perform a comprehensive review of the Ethics Policy and Ethics Operating Policy. Revisions to the Ethics Policy, contained in Division VII of the Administrative Code, are proposed to incorporate his comments.

After reviewing Metropolitan's Ethics Policy, the state auditors recommended that, in order to prevent confusion, Metropolitan eliminate the duplication of provisions in Metropolitan's Administrative Code and in its Ethics Operating Policy for employees. The auditors also commented on the absence of certain provisions of the Political Reform Act not included in the Ethics Policy, such as gift and honoraria provisions. The proposed revisions also address these concerns.

The proposed amendments reorganize the Ethics Policy, add gift and honoraria restrictions consistent with state law, recognize that verified statements of potentially conflicting interests may be required from prospective contractors, and incorporate the provisions in the Ethics Operating Policy that also apply to employees. If these changes are approved, the Operating Policy will then be revised to eliminate overlapping and potentially inconsistent provisions and leave only the ethical areas affecting employees, such as nepotism and employee outside work activities, that do not apply to directors. The proposed amendments also amend Metropolitan's conflict of interest provisions to correspond more precisely with the requirements of the Political Reform Act and the FPPC as set forth in its regulations and opinion letters. These amendments do not add new requirements but more clearly communicate the requirements of applicable state law.

The proposed changes are shown in [Attachment 1](#), with strikeouts reflecting deletions and underlining reflecting additions. [Attachment 2](#) sets forth the provisions as they would now appear in Metropolitan's Administrative Code.

Policy

California Political Reform Act (Government Code Sections 81000 *et seq.*)

Metropolitan Water District Administrative Code Division VII and Section 2490: Duties and Functions of Ethics Committee

California Environmental Quality Act (CEQA)

CEQA determination for Option #1:

The proposed action is not defined as a project under CEQA because the proposed action involves continuing administrative activities such as general policy and procedure making (Section 15378(b)(2) of the State CEQA Guidelines). In addition, where it can be seen with certainty that there is no possibility that the proposed action in question may have a significant effect on the environment, the proposed action is not subject to CEQA (Section 15061(b)(3) of the State CEQA Guidelines).

The CEQA determination is: Determine that the proposed action is not subject to the provisions of CEQA per Section 15378(b)(2) and 15061(b)(3) of the State CEQA Guidelines.

CEQA determination for Option #2:

None required

Board Options/Fiscal Impacts

Option #1

Adopt the CEQA determination and approve the amendments to Administrative Code Section 7100 *et seq.* as set forth in **Attachment 2**.

Fiscal Impact: None

Option #2

Do not amend the Ethics Code.

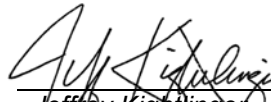
Fiscal Impact: None

Staff Recommendation

Option #1


Deni Elliott
Ethics Officer

1/18/2005
Date


Jeffrey Kightlinger
General Counsel

1/18/2005
Date

Attachment 1 – The Administrative Code of The Metropolitan Water District of Southern California (showing additions and deletions)

Attachment 2 – The Administrative Code of The Metropolitan Water District of Southern California (changed provisions only)

DIVISION VII

CONFLICTS OF INTEREST AND ETHICS REQUIREMENTS ~~DISCLOSURE OR PERSONAL FINANCES CODE~~

Chapter	Sec.
1 General Requirements	7100
2 Designated Positions and Categories of Disclosure Index	7200
3 Ethics Policy for Directors	7300
<u>1</u> <u>Ethics Requirements for Directors, Officers, and Employees</u>	<u>7100</u>
<u>2</u> <u>Disclosure of Economic Interests</u>	<u>7200</u>

Chapter ~~3~~1

ETHICS REQUIREMENTS POLICY FOR DIRECTORS, OFFICERS, AND EMPLOYEES

Article 1. General Provisions

Sec.

- ~~7300.~~ 7100. Purpose and Scope
- ~~7301.~~ 7101. Policy
- ~~7302.~~ 7102. Responsibilities of Public Office
- ~~7303.~~ 7103. Fair and Equal Treatment
- ~~7304.~~ 7104. Proper Use and Safeguarding of Metropolitan Property and Resources
- ~~7304.~~ ~~Board of Directors; Conflict of Interest~~ [moved to section 7120 and revised]
- ~~7305.~~ ~~“Revolving Door” Policy~~ [moved to section 7122 and revised]
- ~~7306.~~ ~~Gifts~~ [moved to section 7130 and revised]
- ~~7307.~~ 7105. Contracts with Metropolitan
- ~~7308.~~ 7106. Communications on Procurements
- ~~7309.~~ 7107. Use of Confidential Information
- ~~7310.~~ 7108. Soliciting Political Contributions
- ~~7311.~~ 7109. Improper Activities and the Reporting of Such Activities
- ~~7312.~~ 7110. Protection of “Whistleblowers”
- ~~7313.~~ 7111. Nondiscrimination and Affirmative Action
- ~~7314.~~ 7112. Limitation on Associations
- ~~7113.~~ ~~————~~ Ethics Advice
- ~~7315.~~ ~~Violation of Ethics Policy~~ [moved to section 7140]
- ~~7316.~~ ~~Inquiry and Review Committee~~ [moved to section 7141]

§ 7100. Purpose and Scope.

The Metropolitan Water District of Southern California is subject to the Political Reform Act of 1974, as amended (the "Act"), and regulations of the Fair Political Practices Commission. The purpose of this division is to impose additional ethics requirements on the directors, officers and employees of the District as permitted by Section 81013 of the Act.

§ ~~7300.7101.~~ Policy Purpose and Scope.

The policy of The Metropolitan Water District of Southern California is to maintain the highest standards of ethics from its Board members, officers and employees. The proper operation of Metropolitan requires decisions and policy to be made in the proper channels of governmental structure, that public office not be used for personal gain, and that all individuals associated with Metropolitan remain impartial and responsible towards the public. Accordingly, it is the policy of Metropolitan that Metropolitan Board members, officers, and employees shall maintain the highest standard of personal honesty and fairness in carrying out their duties. This policy sets forth the minimal ethical standards to be followed by the Board of Directors, officers, and employees of The Metropolitan Water District of Southern California.

§ ~~7301.7102.~~ Responsibilities of Public Office.

Board members, officers, and employees are obliged to uphold the Constitution of the United States and the Constitution of the State of California, and to carry out the laws of the nation, state and local governmental agencies. Board members, officers, and employees shall comply with applicable laws regulating their conduct, including conflict of interests and financial disclosure laws. Board members, officers, and employees should work in full cooperation with other public officials unless prohibited from so doing by law or officially recognized confidentiality of their work.

§ ~~7302.7103.~~ Fair and Equal Treatment.

No Board member, officer, or employee shall grant any special consideration, treatment, or advantage to any person or group beyond that which is available to every other person or group in the same circumstances.

§ ~~7303.7104~~. Proper Use and Safeguarding of Metropolitan Property and Resources.

(a) Except as specifically authorized, no Board member, officer, or employee shall use or permit the use of Metropolitan-owned vehicles, equipment, telephones, materials or property for personal convenience or profit. No Board member, officer, or employee shall require a Metropolitan employee to perform services for the personal convenience or profit of a Board member, officer, or employee. Each Board member, officer, and employee must protect and properly use any Metropolitan asset within his or her control, including information recorded on paper or in electronic form. Using Metropolitan assets for personal profit is forbidden. Board members, officers, and employees shall safeguard Metropolitan property, equipment, moneys, and assets against unauthorized use or removal, as well as from loss due to criminal act or breach of trust.

(b) Board members, officers, and employees are responsible for maintaining written records, including expense accounts, in sufficient detail to reflect accurately and completely all transactions and expenditures made on Metropolitan's behalf. Creating a document with misleading or false information is prohibited.

~~§ 7304.—Board of Directors; Conflict of Interest.—[moved to section 7120 and revised]~~

~~§ 7305.—“Revolving Door” Policy.—[moved to section 7122 and revised]~~

~~§ 7306.—Gifts.—[moved to section 7130 and revised]~~

§ ~~7307.7105~~. Contracts with Metropolitan.

(a) Board members, officers, and employees are prohibited from offering inducements to a potential vendor, contractor, consultant, or other party, to the exclusion of similar persons or firms, in hopes of obtaining reciprocal favors. Metropolitan policies pertaining to the procurement of goods, services, and contractors, as well as the hiring of personnel, must be followed to ensure fairness to the participants. A Board member, officer, or employee shall not exercise any decision-making power with respect to any transaction, contract or sale to which Metropolitan is a party and in which the Board member, officer, or employee has a financial or personal interest. Metropolitan may require potential contractors to submit verified written statements regarding financial or personal interests of Board members, officers or employees in proposed transactions, contracts or sales. Proposed relationships with former Board members or Metropolitan employees subject to Board approval must be evaluated carefully in advance of completing any agreement with such persons to ensure that no unfair advantage is given to them and that Metropolitan's interests are fully protected in such situations.

(b) Metropolitan shall not contract for services of any Director during the Director's term of office and a period of one year thereafter. The restriction on contracting after leaving office may be waived in specific cases by a 2/3 vote of the Board of Directors.

§ ~~7308.7106.~~ Communications on Procurements

~~A-~~(a) Except for statements on the record in a scheduled public meeting, Directors shall not directly or indirectly communicate with the Chief Executive Officer, General Counsel, or General Auditor (or their staffs) regarding the selection of vendors, contractors, consultants, or other business entities for a specific procurement of goods or services.

~~B-~~(b) This policy in no way restricts open communication between Directors and the Chief Executive Officer, General Counsel, or General Auditor on district-wide procurement policies, procedures, or other general matters.

§ ~~7309.7107.~~ Use of Confidential Information.

Confidential information must not be released to unauthorized persons unless the disclosure is approved by the Board of Directors, the Chair of the Board of Directors, or the Office of the General Counsel. Board members, officers, and employees are prohibited from using any confidential information for personal advantage or profit.

§ ~~7310.7108.~~ Soliciting Political Contributions.

(a) Board members, officers, and employees are prohibited from soliciting political funds or contributions at Metropolitan facilities.

(b) No Director, officer, or employee of Metropolitan shall use Metropolitan's seal, trademark, stationery, or other indicia of Metropolitan's identity, or facsimile thereof, in any solicitation for political contributions contrary to state or federal law.

§ ~~7311.7109.~~ Improper Activities and the Reporting of Such Activities.

Board members, officers, and employees shall not interfere with the proper performance of the official duties of others. Board members, officers, and employees are strongly encouraged to fulfill their own moral obligations to the public and Metropolitan by disclosing to the extent not expressly prohibited by law, improper activities within their knowledge. No Board member, officer, or employee shall directly or indirectly use or attempt to use the authority or influence of his or her position for the purpose of intimidating, threatening, coercing, commanding, or influencing any person with the intent of interfering with that person's duty to disclose improper activity.

§ ~~7312.7110~~. Protection of “Whistleblowers.”

(a) - No Board member, officer, or employee shall use or threaten to use any official authority or influence to discourage, restrain or interfere with any other person for the purpose of preventing such person from acting in good faith to report or otherwise bring to the attention of the Office of Ethics, other appropriate agency, Metropolitan office or department any information which, if true, would constitute: a work-related violation by a Metropolitan Board member, officer, or employee of any law or regulation, gross waste of agency funds, gross abuse of authority, a specified and substantial danger to public health or safety due to an act or omission of a Metropolitan official or employee, use of a Metropolitan office or position or of Metropolitan resources for personal gain, or a conflict of interest of a Metropolitan Board member, officer, or employee.

(b) -No Board member, officer, or employee shall use or threaten to use any official authority or influence to effect any action as a reprisal against a Metropolitan Board member, officer, or employee who reports or otherwise brings to the attention of the Office of Ethics or other appropriate agency, Metropolitan office or department any information regarding the subjects described in Paragraph ~~(a) A~~ of this Section.

(c) -Any person who believes that he or she has been subjected to any action prohibited by this section may file a confidential complaint with the Office of Ethics. The Office of Ethics shall thereupon investigate the complaint. Upon the conclusion of its investigation, the Office of Ethics shall take appropriate action as otherwise provided by Metropolitan’s ethics rules and procedures.

(d) -In the event the Office of Ethics has a conflict of interest in an investigation of the retaliation complaint, the Chief ~~Executive Ethics~~ Officer shall refer the investigation of the retaliation complaint to the Equal Employment ~~Opportunities~~ office and the Office of the General Counsel, which shall take appropriate action as otherwise provided under Metropolitan rules and procedures and applicable law.

§ ~~7313.7111~~. Nondiscrimination and Affirmative Action.

Board members, officers, and employees shall not, in the performance of their official functions, discriminate against any person on the basis of race, religion, color, creed, age, marital status, national origin, ancestry, sex, sexual preference, medical condition, or disability and they shall cooperate in achieving the equal opportunity and affirmative action goals and objectives of Metropolitan.

§ ~~7314.7112.~~ Limitation on Associations

Metropolitan shall not participate in any association structure or identification that is likely to mislead the public as to the association’s true identity, its source of funding, or its purpose.

§ 7113. Ethics Advice.

Any Board member, officer or employee who is unsure of any right or obligation arising under this Code may seek the assistance of the Ethics Officer, request an opinion from the General Counsel of Metropolitan, or seek oral or written advice from the Fair Political Practices Commission.

Article 2.- Conflicts of Interest

Sec.

~~7304. 7120. Board of Directors;~~ Conflict of Interest; Method of Recusal

~~7121. Recusal Due to Bias~~

~~7305. 7122. “Revolving Door” Policy~~

1)§ ~~7304.7120.~~ Board of Directors; Conflict of Interest; Method of Recusal.

~~A.-(a) Any Board member who has a financial conflict of interest in a decision to be considered at a noticed public meeting Board member who has any interest, financial or otherwise, direct or indirect, or any obligation of any nature which is in conflict with the proper performance of his or her duties as a Board member on a matter before the Board of Directors must shall~~ do all of the following:

(1) Publicly identify the economic interest that gives rise to the conflict of interest or potential conflict of interest in detail sufficient to be understood by the public, except that disclosure of the exact street address of a residence is not required.

(2) Recuse himself or herself from discussing and voting on the matter, or otherwise acting in violation of the Political Reform Act, ~~except that a director may speak on the issue during the time that the general public speaks on the issue.~~

(3) Leave the room until after the discussion, vote, and any other disposition of the matter is concluded, ~~unless the matter has been placed on the consent calendar.~~

(b) Exceptions:

(1) When a Board member has a financial conflict of interest in a matter on the consent calendar, the member is not required to leave the room.

(2) Even when a financial conflict of interest is present, a Board member may appear before the Board as a member of the general public in order to represent himself or herself on matters related solely to his or her personal interests. The Board member also may listen to the public discussion of the matter with the members of the public.- The member must

comply with subsections (a)(1) (disclosure) and (a)(2) (recusal) and leave the dais to speak from the same area as members of the public. Such an appearance does not constitute making, participating in making, or influencing a governmental decision. Such “personal interests” include, but are not limited to:

(A) An interest in real property that is wholly owned by the official or members of his or her immediate family;

(B) A business entity that is wholly owned by the official or members of his or her immediate family;

(C) A business entity over which the official exercises sole direction and control, or over which the official and his or her spouse jointly exercise sole direction and control.

(c) Any other officer (as identified in Administrative Code Section 6400) or employee who has a financial conflict of interest in a decision shall promptly disclose such conflict in writing to his or her supervisor or appointing authority and not take any action with respect to such decision. A separate disclosure is required each time the officer or employee determines not to act with respect to a decision on the basis of a financial conflict of interest.

~~B. Circumstances establishing a conflict of interest include but are not limited to situations where:~~

§ 7121. Recusal Due to Bias.

A Board member shall not make, participate in or attempt to influence any decision, if he or she is incapable of providing fair treatment to a matter before the Board due to bias, prejudice or because he or she has prejudged a matter.

§ ~~7305~~7122. “Revolving Door” ~~Policy~~; Additional Requirements.

~~A-(a)-~~ In addition to complying with the post-employment restrictions set forth in the Political Reform Act and regulations of the Fair Political Practices Commission, ~~F~~for a period of one year after leaving office or employment with Metropolitan,

~~(1)-~~ Directors shall not represent for compensation non-governmental entities before Metropolitan.

~~(2)-~~ Other officers of Metropolitan (as identified in Administrative Code Section 6400) and Metropolitan employees shall not represent for compensation non-governmental entities before Metropolitan with regard to any issues over which that officer or employee had decision-making authority during the three years prior to leaving office or employment.

~~B-(b)~~ For purposes of this Section, “represent” shall mean for compensation to actively support or oppose a particular decision in a proceeding by lobbying in person the officers or employees of Metropolitan, testifying in person before Metropolitan, or otherwise acting to influence the officers of Metropolitan.

~~C-(c)~~ These restrictions shall not apply to representation of not-for-profit charitable entities before Metropolitan.

Article 3. Gifts and Honoraria.

Sec.

7130. Gifts; Additional Requirements

7131. —Honoraria; Additional Requirements

§ 7130. Gifts; Additional Requirements.

A.(a) Board members, officers, and employees are subject to the rules and restrictions regarding the receipt of gifts set forth in the Political Reform Act and regulations of the Fair Political Practices Commission.

(b) No Board member, officer, or employee, shall receive or agree to receive, directly or indirectly, any compensation, reward or gift from any source, except from his or her appointing authority or employer, for any action related to the conduct of Metropolitan's business, except as set forth below:

~~1. Acceptance of food and refreshments of nominal value on infrequent occasions in the ordinary course of a breakfast, luncheon or dinner meeting or other meeting or on an inspection tour where the arrangements are consistent with the transaction of official business.~~

~~2. Acceptance of transportation, lodging, meals or refreshment, in connection with attendance at widely attended gatherings sponsored by industrial, technical or professional organizations; or in connection with attendance at public ceremonies or similar activities financed by non-governmental sources where the Board member's, officer's, or employee's participation on behalf of Metropolitan is the result of an invitation addressed to him or her in his or her official capacity, and the transportation, lodging, meals or refreshment accepted is related to, and is in keeping with, his or her official participation.~~

~~3. Purchase of articles or admissions at advantageous rates where such rates are offered to Metropolitan personnel as a class.~~

~~4. Acceptance of unsolicited advertising or promotional material, such as pens, pencils, note pads, calendars, or other items of nominal value.~~

~~5. Acceptance of incidental transportation from a private organization, provided it is furnished in connection with the performance of the Board member's official duties and is of a type customarily provided by the private organization.~~

~~6. Acceptance of commendations, certificates or plaques for outstanding individual service or work on Metropolitan projects.~~

~~B. In no event shall any Board member, officer, or employee accept gifts from any single source the cumulative value of which exceeds the applicable gift limit under California law.~~

~~C.~~ (c) A gift or gratuity, the receipt of which is prohibited under this section shall be returned to the donor within 30 days. If return is not possible, the gift or gratuity shall be turned over to a public or charitable institution without being claimed as a charitable deduction and a report of such action, and the reasons why return was not feasible shall be made on the records of the Board or in the cases of officers and employees, on the records of Metropolitan. When possible, the donor also shall be informed of this action.

§ 7131. ~~Honoraria; Additional Requirements.~~

~~(a) Board members, officers, and employees are subject to the prohibition on the receipt of honoraria set forth in the Political Reform Act and regulations of the Fair Political Practices Commission.~~

~~(b) No Board member, officer, or employee shall receive or agree to receive, directly or indirectly, an honorarium.~~

Article 4. Enforcement.

Sec.

7311. Violation of Ethics Policy

7312. Inquiry and Review Committee

§ ~~7315.7140.~~ Violation of Ethics Policy.

~~A.~~ (a) When the Ethics ~~O~~fficer concludes, after investigation by the Inquiry and Review Committee, with the advice of General Counsel, that substantial evidence exists that indicates that a member of the Board is in non-compliance with state law, the matter will be referred to the Fair Political Practices Commission, Attorney General, or District Attorney, as applicable, with notice of the referral provided to the Board, Board member and the appointing member agency at the time of the referral. When the Ethics Officer concludes, after investigation by the Inquiry and Review Committee, with advice of General Counsel, that substantial evidence exists that indicates that a member of the board is in non-compliance with the Ethics Policy or Administrative Code, the matter will be referred to the Executive Committee, with prompt notice to the Board member, with a recommendation for appropriate action, which can include, but is not limited to: (1) notification of finding of non-compliance; (2) letter of reprimand; (3) letter of reprimand with copy to the appointing agency; (4) request to the appointing agency for replacement of the Board member.

~~B.~~ (b) A Director who is subject to a finding of non-compliance with the Ethics Policy by the Ethics Officer shall, at the time the matter is referred to the Executive Committee, be

provided a copy of all of the material upon which the determination was based, and have the opportunity to present any relevant information, data, or facts in his or her own defense prior to the Executive Committee determination.

~~C.~~ (c) Any Director who is dissatisfied with a determination by the Ethics Officer, after investigation by the Inquiry and Review Committee, that no violation or non-compliance occurred may appeal the determination to the Executive Committee for review.

(d) Violation of the Ethics Policy by officers or employees will be handled through existing disciplinary procedures.

§ ~~7316.7141.~~ Inquiry and Review Committee.

(a) -The Inquiry and Review Committee is a committee that investigates ethics complaints against Metropolitan directors, officers and employees. The committee shall be composed of the Ethics Officer, ~~;~~ three elected members of the Board, ~~;~~ and three staff members, one appointed by the Chief Executive Officer, one appointed by the General Counsel and one appointed by the General Auditor. The elected directors shall serve staggered three-year terms, with the initial terms being for either one, two or three years. Members of the committee may be re-elected or reappointed to their positions.

(b) -The Ethics Officer shall refer ethics complaints to the committee, and is a non-voting member of the committee.

(c) -Five of the six voting members of the committee, comprised of the directors and executive staff, shall vote on the findings of an investigation of a complaint according to the following rules:

(1) -For an allegation against a director, one of the ~~director~~ **staff** members shall be excused from participating in the investigation of that complaint.

(2) -For an allegation against an employee, one of the **staff** ~~director~~ members shall be excused from participating in the investigation of that complaint.

(3) -Committee members shall take turns excusing themselves from participating in a complaint, except that members must excuse themselves, or may be removed by vote of the other committee members, from participating in the investigation of a complaint involving his or her conflict of interest, or the appearance of a conflict of interest or any impropriety. No committee member shall be involved in the investigation of a complaint that involves his or her area of responsibility.

(d) -The committee shall submit findings involving employees, along with any dissent, to the appropriate department head for action. The committee shall submit findings involving directors, along with any dissent, to the Executive Committee for action. A report on action to be taken in response to the findings must be submitted to the Ethics Office.

(e) - The Ethics Officer shall review and summarize all ethics complaints in a quarterly report to the Board of Directors. The General Counsel shall receive a copy of all findings, reports and actions concerning complaints.

Chapter ~~42~~

GENERAL REQUIREMENTS DISCLOSURE OF ECONOMIC INTERESTS

Article 1. Conflict of Interest Code

Sec.

~~7100.7200~~ Incorporation of Title 2, California Code of Regulations

~~7105.7205~~ Filing of Statements of Economic Interests

~~7110. _____ Opinions of the General Counsel~~ [\[moved to section 7113 and revised\]](#)

§ ~~7100.7200~~. Incorporation of Title 2, California Code of Regulations.

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 has adopted a regulation (2 Cal. Code of Regs., Sec. 18730) which 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 it may be amended by the Fair Political Practices Commission 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 Fair Political Practices Commission, are hereby incorporated by reference. This regulation and the attached Appendix designating officials, employees, and other individuals and establishing disclosure categories shall constitute the conflict of interest code of The Metropolitan Water District of Southern California.

§ ~~7105.7205~~. Filing of Statements of Economic Interests.

Designated employees and other designated individuals shall file their statements with The Metropolitan Water District of Southern California which will make the statements available for public inspection and reproduction.

(Gov. Code, Sec. 81008.) Upon receipt of the statements for the Board of Directors, the agency shall make and retain a copy and forward the original to the Fair Political Practices Commission. Statements for all other designated employees and designated individuals will be retained by the agency.

~~§ 7110. Opinions of the General Counsel.~~ [moved to section 7113 and revised]

~~————(a) Opinion Requests.——Any designated employee who is unsure of any right or obligation arising under this Code may request an opinion from the General Counsel of Metropolitan or the Fair Political Practices Commission.~~

~~————(b) Evidence of Good Faith.——If an opinion is rendered by the Commission, stating in full the facts and the law upon which the opinion is based, compliance by a designated employee with such opinion may be evidence of good faith in any civil or criminal proceeding brought pursuant to the Political Reform Act of 1974 or this Code.~~

~~Chapter Article 2~~

DESIGNATED POSITIONS AND CATEGORIES OF DISCLOSURE INDEX

Sec.

- ~~7200-7210.~~ General Provisions
- ~~7201-7211.~~ Officers of the District
- ~~7202-7212.~~ Office of the Chief Financial Officer
- ~~7203-7213.~~ Water System Operations Group
- ~~7204-7214.~~ Corporate Resources Group
- ~~7205-7215.~~ Water Resources Management Group
- ~~7206-7216.~~ Office of the Chief Executive Officer
- ~~7207-7217.~~ Ethics Office
- ~~7208-7218.~~ Office of the Chief Operating Officer
- ~~7209-7219.~~ Legal Department
- ~~7210-7220.~~ Officials Who Manage Public Investments
- ~~7211-7221.~~ Budget Disbursement Agents
- ~~_____~~ 7222. Consultants

§ 7210. General Provisions.

(a) Investments, business positions in any business entity and sources of income listed in Column II of Sections 7211 through 7222 are disclosable if:

- (1) The business entity in which the investment or business position is held is of the type which has contracted with Metropolitan within the previous two years; or

(2) The business entity in which the investment or business position is held is of the type which has furnished supplies or services as a subcontractor under any contract with Metropolitan within the previous two years; or

(3) The source of income is of the type which has contracted with Metropolitan within the previous two years; or

(4) The source of income is of the type which has furnished supplies or services as a subcontractor under any contract with Metropolitan within the previous two years.

(b) Where real property is made reportable in Column II of Sections [7211](#) through [7222](#), designated employees within Section [7211](#)(a) shall report as an interest in real property any undeveloped real property located within Metropolitan's jurisdiction. For this purpose, "undeveloped real property" is defined as real property for which there are no current water connections available from Metropolitan to the retail supplier of water and such water connections would be necessary to provide a water supply to the property, or for which larger water delivery facilities from Metropolitan are required before increased water service can be provided for a presently contemplated change in the use to which the property is put.

Where real property is made reportable all designated employees shall disclose any interests in real property within two miles of any Metropolitan land if, within the previous two years, Metropolitan has engaged in a real property transaction or a change in use designation of that land or if Metropolitan has under active consideration such a transaction or change in designation affecting or involving that land at the time of filing.

(c) A designated employee must disclose that the designated employee is a director, officer, partner, trustee, employee, or holds any position of management in a business entity listed in Column II of Sections [7211](#) through [7222](#) doing business within Metropolitan's jurisdiction and which is of the type which has contracted with Metropolitan or has furnished supplies or services as a subcontractor under any contract with Metropolitan within the previous two years.

(d) Employees who fill the positions of designated employees by temporary appointment for a *de minimis* period of time, not to exceed three consecutive weeks during the calendar year, shall not be deemed to be designated employees under this Conflict of Interest and Disclosure of Personal Finances Code.

§ 7211. Officers of the District.

(a)

- | | |
|---------------------------|--|
| Chief Executive Officer | 1. Office equipment and supplies |
| Chief Operating Officer | 2. Banks and savings and loan institutions |
| General Counsel | 3. Securities dealers |
| Assistant General Counsel | 4. Real property |
| General Auditor | 5. Public utilities |
| Assistant General Auditor | 6. Financial audit services |
| Ethics Officer | 7. Insurance services |
| Controller | 8. Computer equipment, services and supplies |
| Assistant Controller | 9. Printing, reproduction, or photographic equipment services and supplies |
| | 10. Periodicals, books, newspapers |
| | 11. Chemicals |
| | 12. Motor vehicles and specialty vehicles, parts and supplies |
| | 13. Construction and maintenance equipment, services and supplies |
| | 14. Petroleum products |
| | 15. Transportation and lodging services |
| | 16. Safety and security services, equipment and supplies |
| | 17. Food services and supplies |
| | 18. Communication services |
| | 19. Water quality testing equipment, services and supplies |
| | 20. Cathodic protection equipment, services and supplies |
| | 21. Engineering services |
| | 22. Employment and temporary help agencies |
| | 23. Educational equipment, services and supplies |
| | 24. Medical supplies, services and informational materials |
| | 25. Landscape services and supplies |
| | 26. Typographical services |
| | 27. General and specialty equipment rentals |
| | 28. Real estate sales and investment firms |
| | 29. Consulting services: legal, energy and power, engineering, soil testing, water treatment, data processing, computers, doctors, labor relations, employee training, advertising, communications, design, art work, audio visual, movie products, planning, water pricing and demand, water resources, economists, desalting, financial environmental, appraisers, investment, hazardous waste disposal. |
| | 30. Title insurance and escrow services |
| | 31. Farming |
| | 32. Private water companies |
| | 33. Electrical generating equipment and supplies |
| | 34. Electrical equipment and supplies |
| | 35. Real estate development firms |
| | 36. Any business entity selling or leasing real property to, or purchasing or leasing real property from the District |

(b)

- Members of the Board of Directors
- Chief Financial Officer

See Section [7220](#)

Treasurer

Assistant Treasurer

§ 7212. Office of the Chief Financial Officer.

Financial Services

(1)

- Section Manager – Controller
- Section Manager Treasury and Debt Management
- Section Manager Budget and Financial Planning
- Unit Manager - Assistant Controller
- Deputy Treasurer
- Team Manager – Payroll/Accounts Payable
- Program Manager – Rates and Charges

- 1. Banks and savings and loan institutions
- 2. Financial audit services
- 3. Consulting services (investments, investment banking, brokers, economists, planning, water pricing, and other financial services, including financial reporting)
- 4. Securities dealers
- 5. Information Technology consulting services (e.g. computers, data processing, and engineering)

(2)

Unit Manager Risk Management

- 1. Consulting services (insurance, actuarial, risk management, claims administration, health, safety and environmental services)
- 2. Insurance companies

§ 7213. Water System Operations Group.

(a)

Water System Operations Group Manager
Water System Operations Group Assistant Manager

- 1. Airplane equipment and supplies
- 2. Boating/marina related supplied and services
- 3. Chemicals
- 4. Communication services
- 5. Construction and building equipment and supplies
- 6. Consulting services (energy and power, operations, maintenance-related services, water quality, water quality regulations, water treatment, engineering, planning, security and guard services, emergency preparedness, communications, recreation-related services, control systems (including SCADA), environmental assessment, permitting, legislative medical, claims administration, health and safety.)
- 7. Electrical equipment, parts and supplies
- 8. Electronic supplies and equipment
- 9. Energy equipment and supplies
- 10. First-aid materials and supplies, related training and services
- 11. Food services and supplies
- 12. Hardware, tools and supplies
- 13. Hazardous waste disposal/treatment services
- 14. Investigative security services and security-related equipment and supplies
- 15. Maintenance supplies
- 16. Motor vehicles and specialty vehicles, parts and

- supplies
- 17. Petroleum products
- 18. Pipes, valves, fittings, pumps, meters, equipment and supplies
- 19. Public utilities
- 20. Real property
- 21. Safety, health and medical services and supplies; safety equipment and supplies
- 22. Software, including control systems, SCADA, maintenance management, energy and water planning
- 23. Telecommunications equipment and supplies
- 24. Training materials & supplies (apprenticeship program related)
- 25. Water quality testing, equipment, supplies and services
- 26. Weed abatement/landscape maintenance related contracts

27. Janitorial services

Program Manager I – Apprenticeship Program

- 1. Training materials & supplies (apprenticeship program related)

(b)

Security & Emergency Management Unit
 Security & Emergency Management Unit Manager
 Security Team Manager

- 1. Consulting services (security and guard services, emergency preparedness)
- 2. Investigative security services and security-related equipment and supplies

(c)

Workplace Health & Safety Unit
 Workplace Health & Safety Unit Manager
 Industrial Hygiene Team Manager

- 1. Safety, health and medical services and supplies
- 2. Consulting services (health and safety, medical training, claims administration)
- 3. Hazardous waste disposal / treatment services
- 4. Equipment and supplies (safety, security and training)

(d)

Business Management Team
 Business Management Team Manager

- 1. Consulting services (management and communications)

(e)

Recreation Team
 Recreation Team Manager

- 1. Boating/marina related supplies and services
- 2. Consulting services (recreation related)
- 3. Construction and building equipment and supplies
- 4. Electrical equipment, parts and supplies
- 5. First-aid, safety equipment and supplies

(f)

Operations & Maintenance Planning Section
 Operations & Maintenance Planning Section Manager

- 1. Communication services
- 2. Consulting services (energy and power, operations, maintenance-related services, planning, communications, and control systems (including SCADA))
- 3. Electrical equipment, parts and supplies
- 4. Electronic supplies and equipment
- 5. Energy equipment and supplies
- 6. Maintenance supplies
- 7. Pipes, valves, fittings, pumps, meters, equipment and supplies
- 8. Public utilities
- 9. Software, including control systems, SCADA, maintenance management, energy and water planning

- | | |
|---|--|
| | 10. Telecommunications equipment and supplies |
| | 11. Real property |
| (g) | |
| Operations Planning Unit | 1. Consulting services (engineering, planning, energy and power, and control systems (including SCADA)) |
| Operations Planning Unit Manager | 2. Energy equipment and supplies |
| Planning & Program Development Team Manager | 3. Software, including control systems, SCADA, energy and water planning |
| Program Manager II, Program Manager I | 4. Public utilities |
| | 5. Real property |
| (h) | |
| System Operations Unit | 1. Communication services |
| System Operations Unit Manager | 2. Consulting services (engineering, communications, control systems (including SCADA)) |
| Operations Control Center Team Manager | 3. Electronic supplies and equipment |
| | 4. Pipes, valves, fittings, pumps, meters, equipment and supplies |
| | 5. Public utilities |
| | 6. Software, including control systems, communications, SCADA, maintenance management, energy and water planning |
| | 7. Telecommunications equipment and supplies |
| (i) | |
| Maintenance Planning Unit | 1. Consulting services (maintenance-related services) |
| Maintenance Planning Unit Manager | 2. Maintenance equipment and supplies |
| | 3. Pipes, valves, fittings, pumps, meters, equipment and supplies |
| | 4. Public utilities |
| | 5. Software, including maintenance management |
| (j) | |
| Conveyance and Distribution Section | 1. Airplane equipment and supplies |
| Conveyance and Distribution Section Manager | 2. Chemicals |
| Conveyance and Distribution Unit Managers | 3. Construction and building equipment and supplies |
| --Eastern Region | 4. Consulting services (engineering, planning, emergency preparedness) |
| --Western Region | 5. Electrical equipment, parts and supplies |
| --Desert Region | 6. Electronics equipment and supplies |
| Team Managers | 7. Food services and supplies |
| --Business Support for Eastern Region | 8. Hardware, tools and supplies |
| --Business Support for Western Region | 9. Petroleum products |
| --Business Support for Desert Region | 10. Pipes, valves, fittings, pumps, meters, equipment supplies |
| --Orange County Teams 1 & 2 | 11. Public utilities |
| --Riverside | 12. Real property |
| --Lake Skinner | 13. Safety equipment and supplies |
| --Diamond Valley Lake | 14. Weed abatement/landscape maintenance related contracts |
| --Los Angeles Teams 1 & 2 | <u>15. Janitorial services</u> |
| --La Verne | |
| --Valley | |
| --Aqueduct Maintenance | |
| --Trades | |
| --Pump Maintenance | |
| --Powerline Maintenance | |
| --Gene/Intake | |

--Iron Mountain
 --Eagle/Hinds
 --Facilities Services
 --Control Systems – Desert Region
 Landscape Maintenance
 Coordinators
 (k)
 Water Treatment Section
 Water Treatment Section Manager
 Unit Managers
 --Jensen
 --Weymouth
 --Diemer
 --Mills
 --Skinner
 Team Managers
 --Business Support for Jensen
 --Business Support for Weymouth
 --Business Support for Diemer
 --Business Support for Mills
 --Business Support for Skinner
 --Jensen O & M Teams 1 & 2
 --Weymouth O & M Teams 1 & 2
 --Diemer O & M Teams 1 & 2
 -- Mills O & M Teams 1 & 2
 --Skinner O & M Teams 1 & 2
 --Control Systems for Jensen
 --Control Systems for Weymouth
 --Control Systems for Diemer
 --Control Systems for Mills
 --Control Systems for Skinner
 Principal Engineer – Ozone and
 residual management, water treatment and
 quality studies

1. Weed abatement/landscape maintenance related contracts
1. Chemicals
2. Construction and building equipment and supplies
3. Consulting services (engineering, planning, operations, emergency preparedness, water treatment and quality)
4. Electrical equipment, parts and supplies
5. Electronic equipment and supplies
6. Hardware, tools and supplies
7. Motor vehicles and specialty vehicles, parts and supplies
8. Pipes, valves, fittings, pumps, meters, equipment and supplies
9. Public Utilities
10. Safety equipment and supplies
11. Software, including control systems (SCADA), energy monitoring
12. Telecommunications equipment and supplies
13. Janitorial services

(l)
 Water Quality Section
 Water Quality Section Manager
 Senior Environmental Specialist – Water
 Quality Regulations
 Unit Managers
 --Microbiology
 --Water Purification
 --Chemistry
 Team Managers
 --Quality Assurance
 --Business Support
 --Microbiology Compliance
 --Microbiology Development
 --Reservoir Management
 --Operations Compliance
 --Engineering Compliance
 --Process Development
 --Organic Chemistry Compliance
 --Chemistry Development

1. Boating related supplies and services
2. Chemicals
3. Consulting services (water quality, water quality regulations, water treatment)
4. Safety equipment and supplies
5. Water quality testing, equipment, supplies and services

--Inorganic Chemistry Compliance
 --Plant Laboratory
 Principal Environmental Specialist –
 Advanced Disinfectant/Disinfection By-
 Product Studies
 Senior Research Chemist – Advanced
 Organic Precursors/Organic Compound
 Studies

(m)

Operations Support Services Section
 Operations Support Services Section
 Manager
 Unit Managers
 --Construction Services
 --Maintenance Support
 --Power Support
 --Environmental Support Services
 --Fleet Maintenance
 Team Managers
 --Business Support – Construction
 Services
 --Business Support – Maintenance
 support
 --Business Support – Fleet
 Maintenance
 --Construction Teams 1, 2 and 3
 --Construction Projects
 --Production Planning
 --Fabrication Shop
 --Valve / Dive
 --Machine Shop
 --Coatings
 --HVAC
 --Hydro Electric
 --Hazardous Materials Management
 --Environmental Technical Services
 --East
 --West
 --Central
 --Desert

1. Airplane equipment and supplies
2. Communication services
3. Construction and building equipment and supplies
4. Consulting services (engineering, environmental assessment, permitting, legislative, medical, health and safety)
5. Electronics supplies and equipment
6. Electrical equipment, parts and supplies
7. First-aid materials and supplies, training and services
8. Food services and supplies
9. Hardware, tools and supplies
10. Hazardous waste disposal/treatment services
11. Maintenance supplies
12. Motor vehicles and specialty, vehicles, parts and supplies
13. Petroleum products
14. Pipes, valves, fittings, pumps, meters, equipment and supplies
15. Public utilities
16. Real property
17. Safety equipment and supplies
18. Janitorial services

§ 7214. Corporate Resources Group

(a)

Corporate Resources Group Manager

Same as Chief Executive Officer (See Section 7211 (a))

(b)

Project Coordination Program Manager
 Program Manager – Corporate Resources

1. Consulting services, e.g. engineering
2. Equipment and supplies, e.g. those related to construction, rehabilitation and safety

(c)

Engineering Services Section Manager

3. Construction firms
4. Public utilities
5. Motor vehicles and specialty vehicles, parts and

(1)

Engineering Services Assistant Section
 Manager
 Inland Feeder Program Manager
 Inland Feeder Program Management
 Team Manager
 Technical Control Team Manager
 Business Management Team Manager

- supplies
- 6. Real property
- 7. Printing and reproduction services

(2)

Design Unit Manager
 Treatment Plant/Equipment Design
 Team Manager
 Pipeline and Facility Design Team
 Manager
 Power/Instrumentation Design Team
 Manager
 General Design Team Manager
 Design Support Team 1 Manager
 Design Support Team 2 Manager

- 1. Consulting services, e.g. benchmarking, training
- 2. Equipment and supplies
- 3. Printing and reproduction services

(3)

Infrastructure Unit Manager
 Materials & Metallurgy Team Manager
 Corrosion Control Team Manager

 Survey Mapping Team Manager
 Safety of Dams Team Manager
 Right-of-Way Engineering Team
 Manager
 Field Survey Team Manager

- 1. Consulting services, e.g. engineering, design, geotechnical
- 2. Equipment and supplies, e.g. those related to construction, rehabilitation, instrumentation, electrical and safety
- 3. Construction firms
- 4. Real property
- 5. Public utilities
- 1. Consulting services, e.g. engineering, and cathodic protection, title insurance, and escrow services
- 2. Equipment services and supplies for surveying, cathodic protection, coatings, concrete testing, and safety and related activities
- 3. Public utilities
- 4. Real property
- 5. Printing and reproduction services
- 6. Vendors, e.g. dam surveillance and groundwater monitoring and telemetry equipment

(4)

Inspection Unit Manager
 --Inspection Team Manager #1
 --Inspection Team Manager #2
 --Inspection Team Manager #3
 --Soils & Concrete Team Manager
 --Fabrication and Inspection Team

- 1. Consulting services, e.g. engineering
- 2. Construction firms
- 3. Equipment and supplies, e.g. those related to inspection, construction, rehabilitation and safety
- 4. Public utilities
- 5. Printing and reproduction services

Manager

(5)

Program Management Unit Manager
 --Construction Contract Administration
 Team Manager
 --Construction Contract Development
 Team Manager
 --Project Support Team Manager
 --Distribution System Program
 Management Team Manager
 --Treatment Plant Program
 Management Team Manager
 --Conveyance/Storage Program
 Management Team Manager

- 1. Consulting services, e.g. engineering
- 2. Construction firms
- 3. Equipment and supplies, e.g. those related to construction, rehabilitation and safety
- 4. Public utilities
- 5. Real property
- 6. Printing and reproduction services

(6)

Asset Management and Facility

- 1. Real property

Planning Unit Manager
 --Facility Planning Team Manager
 --Substructures Team Manager
 --Environmental Planning Team
 Manager
 --Property Management Team
 Manager
 --Acquisition and Appraisal Team
 Manager
 --Hydraulics Team Manager

2. Public utilities
3. Engineering services
4. Real estate development firms
5. Consulting services, e.g. engineering, environmental, financial, energy and power, water resources, water pricing and demand, real estate appraisers, hydraulics
6. Printing and reproduction services
7. Real estate sales and investment firms
8. Any business entity selling or leasing real property from Metropolitan
9. Escrow services
10. Data Services
11. Related Equipment and supplies

(d)
 Information Technology Section Manager
 --Program Manager of Conveyance Treatment and Distribution Automation in the IT Section
 --Quality Assurance Team Manager
 --Information Security Team Manager
 --Business Management Team Manager
 --Client Services Unit Manager
 --Client Support Team Manager
 --Desktop Services Team Manager
 --Project Management Unit Manager
 --Project Management Unit Program
 Manager
 --Information Technology Infrastructure
 Unit Manager
 --Program Manager – IT Infrastructure
 --Telecommunications Services Team
 Manager
 --Database and Information Technology
 --Operations Manager
 --Server Maintenance Team Manager
 --Application Support Unit Manager
 --Enterprise Application Team Manager
 --Business Application Team Manager
 --Control System Application Team
 Manager
 --GIS Application Team Manager

1. Consulting services, e.g. computers, Information Technology, control systems, telecommunications, Geographic Information Systems (GIS), and Computer-Aided Design (CAD)
2. Equipment supplies and services, e.g. computers, software, data, communications, and control systems
3. Public utilities, e.g., telephone and data services

(e)
 Business Services Section Manager

1. Consulting services, e.g. printing, reproduction, publishing, technical writing, transportation, maintenance, safety, food service
2. Equipment and supplies, e.g. chemicals, motor vehicles, computer hardware, software, tools, parts, petroleum products, safety, furniture, office equipment and supplies, maintenance supplies, telecommunications
3. Services, e.g. transportation & lodging services, publishing, maintenance, food service, air conditioning repair, landscape, movers, record storage, microfilming, travel agency
4. Public utilities

(1)
Business Management Team Manager

Periodicals, books, subscriptions and newspapers

1. Consulting services, e.g. printing, reproduction, publishing, technical writing, maintenance, safety, food service, travel agency
2. Equipment, supplies and services, e.g., those related to printing, reproduction, publishing, technical writing, transportation, maintenance safety, food service, contracting, safety
3. Newspapers, books and periodicals
4. Transportation & lodging services

(2)
Contracting Services Unit Manager
Procurement team Manager
--Inventory Management Team Manager
--Professional Service Contract Development Team Manager

1. Consulting services
2. Equipment and supplies, e.g. chemicals, motor vehicles, computer hardware, software, tools, parts, petroleum products, safety, office equipment and supplies, maintenance supplies, telecommunications
3. Services, e.g. transportation & lodging services, publishing, maintenance, food service, telecommunications, travel agency
4. Public utilities
5. Periodicals, books, subscriptions and newspapers

(3)
Facilities Services Unit Manager
Transportation & Mail Team Manager
Facilities Management Team Manager

1. Consulting services
2. Equipment and supplies, e.g. motor vehicles, tools, parts, furniture, office equipment and supplies, maintenance supplies
3. Services, e.g. transportation, maintenance, food service, landscape, movers, air conditioner repair

(4)
Document Services Unit Manager
Graphic Design Team Manager
Reprographics Team Manager
Technical Writing Team Manager
Records Management Team Manager

1. Consulting services, e.g. graphics, technical writing photography
2. Equipment and supplies, e.g. printing, copying photographic, video
3. Services, e.g. publishing, record storage, microfilming
4. Periodicals, books, newspapers

§ 7215. Water Resources Management Group.

(a)
Group Manager – Water Resource Management
Assistant Group Manager – Water Resource Management
Resource Planning & Development Section Manager
--Resource Analysis Unit Manager
--System Analysis Unit Manager
--Program Manager – Transfers and Exchange Issues
--Program Manager – Groundwater Storage Issues
Program Manager – Bay Delta Issues

1. Public utilities
2. Engineering services
3. Real property
4. Farming
5. Private water companies
6. Real estate development
7. Construction and maintenance equipment, services and supplies
8. Consulting services (energy and power, economists, engineering, environmental, financial, planning, desalting, water pricing and demand, water resources, water conservation.
9. Landscape services and supplier

Resource Implementation Section
Manager

- Imported Supply Unit Manager
- Regional Supply Unit Manager
- Program Manager – State Water

Project Issues

--

- Program Manager – Colorado River

Resources Issues

- Program Manager – Water Use

Efficiency

10. Energy and Power

§ 7216. Office of the Chief Executive Officer

(a)

- Chief Operating Officer
- Executive Vice President
- Vice President – External Affairs
- Vice President – Colorado River
- Vice President – State Water Project

Same as Chief Executive Officer (See Section 7211 (a))

(b)

- Executive Secretary

1. Transportation and lodging services
2. Food services and supplies

(c)

Human Resources Section Manager

(1)

- Employee Relations Team Manager
- Equal Employment Opportunity Team Manager
- Human Resources Service and Compliance Unit Manger
- Classification/Compensation & Benefits Team Manager
- Staffing, Assessment & Performance Management Team Manager
- Training and Organizational Effectiveness Unit Manager

1. Consulting services, e.g. employee training, labor and employee relations, medical benefits
2. Equipment, supplies and services e.g., those related to training, safety, advertising, insurance
3. Printing and reproduction services
4. Employment agencies
5. Newspapers, books and periodicals

(d)

External Affairs Group

- Vice-President External Affairs
- Group Manager / External Affairs
- Assistant Group Manager / External Affairs

Same as Chief Executive Officer (See § 7211 (a))

- Executive Legislative Representative – Washington, DC
- Executive Legislative Representative - Sacramento

- Section Manager / Customer and Community Relations
- Unit Manager – Community Partnering
- Unit Manager – Customer Service
- Unit Manager – Education and Facilities

1. Newspapers, books and periodicals
2. Hotel and motel accommodations, restaurants, bus and airline charter

- Inspection

1. Newspapers, books and periodicals
2. Educational equipment, services and supplies
3. Consulting services (communications, design, art work,

Section Manager / Media Services
Program Manager – Press Office
Program Manager - Web

audio-visual

1. Advertising and mail services
2. Audio or visual aids
3. Newspapers, books and periodicals
4. Consulting services (advertising, communications, design, art work, audio-visual, education, movie productions)
5. Art supplies
6. Typographical services
7. Paper supplies

Section Manager / Legislative Services
Government Relations Representative

Same as Chief Executive Officer (See § 7211 (a))

1. Hotel and motel accommodations, restaurants, bus and airline charter
2. General and specialty equipment rentals
3. Employment agencies
4. Consultants (public relations)

Business Outreach Manager

Same as Chief Executive Officer (See § 7211 (a))

§ 7217. Office of Ethics

Ethics Educator

Same as Chief Executive Officer (See § 7211 (a))

§ 7218. Office of the Chief Operating Officer

(a)

Water System Operations Group Manager
Corporate Resources Group Manager
Water Resource Management Group
Manager

Same as Chief Executive Officer (See § 7211 (a))

§ 7219 Legal Department.

(a)

Chief Deputy General Counsel
Senior Deputy General Counsel
Deputy General Counsel
Associate Deputy General Counsel

Same as Chief Executive Officer (See § 7211(a))

§ 7220. Public Officials Who Manage Public Investments.

The persons in the positions listed below manage or approve public investments and will file a statement of economic interests pursuant to Government Code Section 87200:

Members of the Board of Directors
Chief Financial Officer
Treasurer
Assistant Treasurer

§ 7221. Budget Disbursement Agents.

~~Division-Group~~ Managers may grant authority to approve purchase requisitions of up to \$250,000 to any employee within his or her ~~Group division~~ on a business case basis regardless of job classification, provided that such purchase has been expressly authorized in the Board-approved annual budget for the applicable fiscal year. Such authorization must be in writing and will be reviewed annually in conjunction with Board approval of Metropolitan's annual budget.

Each ~~divisionGroup~~ is responsible for reporting any such delegation of authority to an employee (a "Budget Disbursement Agent") to the Human Resources ~~Section Division~~ and the Legal Department. All Budget Disbursement Agents will be listed on a report distributed to ~~divisionGroup~~ management and updated monthly. Each Budget Disbursement Agent will be responsible for disclosure pursuant to the broadest disclosure category in the employee's ~~section branch~~ or ~~divisionGroup~~.

§ 7222. Consultants.

Consultants providing the services of designated employees 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 Chief 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 Chief 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.

DIVISION VII

CONFLICTS OF INTEREST AND ETHICS REQUIREMENTS

Chapter		Sec.
1	Ethics Requirements for Directors, Officers, and Employees	7100
2	Disclosure of Economic Interests	7200

Chapter 1

ETHICS REQUIREMENTS FOR DIRECTORS, OFFICERS, AND EMPLOYEES

Article 1. General Provisions

Sec.	
7100.	Purpose and Scope
7101.	Policy
7102.	Responsibilities of Public Office
7103.	Fair and Equal Treatment
7104.	Proper Use and Safeguarding of Metropolitan Property and Resources
7105.	Contracts with Metropolitan
7106.	Communications on Procurements
7107.	Use of Confidential Information
7108.	Soliciting Political Contributions
7109.	Improper Activities and the Reporting of Such Activities
7110.	Protection of "Whistleblowers"
7111.	Nondiscrimination and Affirmative Action
7112.	Limitation on Associations
7113.	Ethics Advice

§ 7100. Purpose and Scope.

The Metropolitan Water District of Southern California is subject to the Political Reform Act of 1974, as amended (the "Act"), and regulations of the Fair Political Practices Commission. The purpose of this division is to impose additional ethics requirements on the directors, officers and employees of the District as permitted by Section 81013 of the Act.

§7101. Policy.

The policy of The Metropolitan Water District of Southern California is to maintain the highest standards of ethics from its Board members, officers and employees. The proper operation of Metropolitan requires decisions and policy to be made in the proper channels of governmental structure, that public office not be used for personal gain, and that all individuals associated with Metropolitan remain impartial and responsible towards the public. Accordingly, it is the policy of Metropolitan that Metropolitan Board members, officers, and employees shall maintain the highest standard of personal honesty and fairness in carrying out their duties. This policy sets forth the minimal ethical standards to be followed by the Board of Directors, officers, and employees of The Metropolitan Water District of Southern California.

§ 7102. Responsibilities of Public Office.

Board members, officers, and employees are obliged to uphold the Constitution of the United States and the Constitution of the State of California, and to carry out the laws of the nation, state and local governmental agencies. Board members, officers, and employees shall comply with applicable laws regulating their conduct, including conflict of interests and financial disclosure laws. Board members, officers, and employees should work in full cooperation with other public officials unless prohibited from so doing by law or officially recognized confidentiality of their work.

§ 7103. Fair and Equal Treatment.

No Board member, officer, or employee shall grant any special consideration, treatment, or advantage to any person or group beyond that which is available to every other person or group in the same circumstances.

§ 7104. Proper Use and Safeguarding of Metropolitan Property and Resources.

(a) Except as specifically authorized, no Board member, officer, or employee shall use or permit the use of Metropolitan-owned vehicles, equipment, telephones, materials or property for personal convenience or profit. No Board member, officer, or employee shall require a Metropolitan employee to perform services for the personal convenience or profit of a Board member, officer, or employee. Each Board member, officer, and employee must protect and properly use any Metropolitan asset within his or her control, including information recorded on paper or in electronic form. Using Metropolitan assets for personal profit is forbidden. Board members, officers, and employees shall safeguard Metropolitan property, equipment, moneys, and assets against unauthorized use or removal, as well as from loss due to criminal act or breach of trust.

(b) Board members, officers, and employees are responsible for maintaining written records, including expense accounts, in sufficient detail to reflect accurately and completely all transactions and expenditures made on Metropolitan's behalf. Creating a document with misleading or false information is prohibited.

§ 7105. Contracts with Metropolitan.

(a) Board members, officers, and employees are prohibited from offering inducements to a potential vendor, contractor, consultant, or other party, to the exclusion of similar persons or firms, in hopes of obtaining reciprocal favors. Metropolitan policies pertaining to the procurement of goods, services, and contractors, as well as the hiring of personnel, must be followed to ensure fairness to the participants. A Board member, officer, or employee shall not exercise any decision-making power with respect to any transaction, contract or sale to which Metropolitan is a party and in which the Board member, officer, or employee has a financial or personal interest. Metropolitan may require potential contractors to submit verified written statements regarding financial or personal interests of Board members, officers or employees in proposed transactions, contracts or sales. Proposed relationships with former Board members or Metropolitan employees subject to Board approval must be evaluated carefully in advance of completing any agreement with such persons to ensure that no unfair advantage is given to them and that Metropolitan's interests are fully protected in such situations.

(b) Metropolitan shall not contract for services of any Director during the Director's term of office and a period of one year thereafter. The restriction on contracting after leaving office may be waived in specific cases by a 2/3 vote of the Board of Directors.

§ 7106. Communications on Procurements

(a) Except for statements on the record in a scheduled public meeting, Directors shall not directly or indirectly communicate with the Chief Executive Officer, General Counsel, or General Auditor (or their staffs) regarding the selection of vendors, contractors, consultants, or other business entities for a specific procurement of goods or services.

(b) This policy in no way restricts open communication between Directors and the Chief Executive Officer, General Counsel, or General Auditor on district-wide procurement policies, procedures, or other general matters.

§ 7107. Use of Confidential Information.

Confidential information must not be released to unauthorized persons unless the disclosure is approved by the Board of Directors, the Chair of the Board of Directors, or the Office of the General Counsel. Board members, officers, and employees are prohibited from using any confidential information for personal advantage or profit.

§ 7108. Soliciting Political Contributions.

(a) Board members, officers, and employees are prohibited from soliciting political funds or contributions at Metropolitan facilities.

(b) No Director, officer, or employee of Metropolitan shall use Metropolitan's seal, trademark, stationery, or other indicia of Metropolitan's identity, or facsimile thereof, in any solicitation for political contributions contrary to state or federal law.

§ 7109. Improper Activities and the Reporting of Such Activities.

Board members, officers, and employees shall not interfere with the proper performance of the official duties of others. Board members, officers, and employees are strongly encouraged to fulfill their own moral obligations to the public and Metropolitan by disclosing to the extent not expressly prohibited by law, improper activities within their knowledge. No Board member, officer, or employee shall directly or indirectly use or attempt to use the authority or influence of his or her position for the purpose of intimidating, threatening, coercing, commanding, or influencing any person with the intent of interfering with that person's duty to disclose improper activity.

§ 7110. Protection of “Whistleblowers.”

(a) No Board member, officer, or employee shall use or threaten to use any official authority or influence to discourage, restrain or interfere with any other person for the purpose of preventing such person from acting in good faith to report or otherwise bring to the attention of the Office of Ethics, other appropriate agency, Metropolitan office or department any information which, if true, would constitute: a work-related violation by a Metropolitan Board member, officer, or employee of any law or regulation, gross waste of agency funds, gross abuse of authority, a specified and substantial danger to public health or safety due to an act or omission of a Metropolitan official or employee, use of a Metropolitan office or position or of Metropolitan resources for personal gain, or a conflict of interest of a Metropolitan Board member, officer, or employee.

(b) No Board member, officer, or employee shall use or threaten to use any official authority or influence to effect any action as a reprisal against a Metropolitan Board member, officer, or employee who reports or otherwise brings to the attention of the Office of Ethics or other appropriate agency, Metropolitan office or department any information regarding the subjects described in Paragraph (a) of this Section.

(c) Any person who believes that he or she has been subjected to any action prohibited by this section may file a confidential complaint with the Office of Ethics. The Office of Ethics shall thereupon investigate the complaint. Upon the conclusion of its investigation, the Office of Ethics shall take appropriate action as otherwise provided by Metropolitan’s ethics rules and procedures.

(d) In the event the Office of Ethics has a conflict of interest in an investigation of the retaliation complaint, the Chief Executive Officer shall refer the investigation of the retaliation complaint to the Equal Employment Opportunities office and the Office of the General Counsel, which shall take appropriate action as otherwise provided under Metropolitan rules and procedures and applicable law.

§ 7111. Nondiscrimination and Affirmative Action.

Board members, officers, and employees shall not, in the performance of their official functions, discriminate against any person on the basis of race, religion, color, creed, age, marital status, national origin, ancestry, sex, sexual preference, medical condition, or disability and they shall cooperate in achieving the equal opportunity and affirmative action goals and objectives of Metropolitan.

§ 7112. Limitation on Associations

Metropolitan shall not participate in any association structure or identification that is likely to mislead the public as to the association's true identity, its source of funding, or its purpose.

§ 7113. Ethics Advice.

Any Board member, officer or employee who is unsure of any right or obligation arising under this Code may seek the assistance of the Ethics Officer, request an opinion from the General Counsel of Metropolitan, or seek oral or written advice from the Fair Political Practices Commission.

Article 2. Conflicts of Interest

Sec.

7120. Conflict of Interest; Method of Recusal

7121. Recusal Due to Bias

7122. "Revolving Door" Policy

§ 7120. Conflict of Interest; Method of Recusal.

(a) A Board member who has a financial conflict of interest in a decision to be considered at a noticed public meeting shall do all of the following:

(1) Publicly identify the economic interest that gives rise to the conflict of interest or potential conflict of interest in detail sufficient to be understood by the public, except that disclosure of the exact street address of a residence is not required.

(2) Recuse himself or herself from discussing and voting on the matter, or otherwise acting in violation of the Political Reform Act.

(3) Leave the room until after the discussion, vote, and any other disposition of the matter is concluded.

(b) Exceptions:

(1) When a Board member has a financial conflict of interest in a matter on the consent calendar, the member is not required to leave the room.

(2) Even when a financial conflict of interest is present, a Board member may appear before the Board as a member of the general public in order to represent himself or herself on matters related solely to his or her personal interests. The Board member also may listen to the public discussion of the matter with the members of the public. The member must comply with subsections (a)(1) (disclosure) and (a)(2) (recusal) and leave the dais to speak from the same area as members of the public. Such an appearance does not constitute making, participating in making, or influencing a governmental decision. Such "personal interests" include, but are not limited to:

(A) An interest in real property **that** is wholly owned by the official or members of his

or her immediate family;

(B) A business entity that is wholly owned by the official or members of his or her immediate family;

(C) A business entity over which the official exercises sole direction and control, or over which the official and his or her spouse jointly exercise sole direction and control.

(c) Any other officer (as identified in Administrative Code Section 6400) or employee who has a financial conflict of interest in a decision shall promptly disclose such conflict in writing to his or her supervisor or appointing authority and not take any action with respect to such decision. A separate disclosure is required each time the officer or employee determines not to act with respect to a decision on the basis of a financial conflict of interest.

§ 7121. Recusal Due to Bias.

A Board member shall not make, participate in or attempt to influence any decision, if he or she is incapable of providing fair treatment to a matter before the Board due to bias, prejudice or because he or she has prejudged a matter.

§7122. “Revolving Door”; Additional Requirements.

(a) In addition to complying with the post-employment restrictions set forth in the Political Reform Act and regulations of the Fair Political Practices Commission, for a period of one year after leaving office or employment with Metropolitan, (1) Directors shall not represent for compensation non-governmental entities before Metropolitan. (2) Other officers of Metropolitan (as identified in Administrative Code Section 6400) and Metropolitan employees shall not represent for compensation non-governmental entities before Metropolitan with regard to any issues over which that officer or employee had decision-making authority during the three years prior to leaving office or employment.

(b) For purposes of this Section, “represent” shall mean for compensation to actively support or oppose a particular decision in a proceeding by lobbying in person the officers or employees of Metropolitan, testifying in person before Metropolitan, or otherwise acting to influence the officers of Metropolitan.

(c) These restrictions shall not apply to representation of not-for-profit charitable entities before Metropolitan.

Article 3. Gifts and Honoraria.

Sec.

7130. Gifts; Additional Requirements

7131. Honoraria; Additional Requirements

§ 7130. Gifts; Additional Requirements.

(a) Board members, officers, and employees are subject to the rules and restrictions regarding the receipt of gifts set forth in the Political Reform Act and regulations of the Fair Political Practices Commission.

(b) No Board member, officer, or employee, shall receive or agree to receive, directly or indirectly, any compensation, reward or gift from any source, except from his or her appointing authority or employer, for any action related to the conduct of Metropolitan's business.

(c) A gift or gratuity, the receipt of which is prohibited under this section shall be returned to the donor within 30 days. If return is not possible, the gift or gratuity shall be turned over to a public or charitable institution without being claimed as a charitable deduction and a report of such action, and the reasons why return was not feasible shall be made on the records of the Board or in the cases of officers and employees, on the records of Metropolitan. When possible, the donor also shall be informed of this action.

§ 7131. Honoraria; Additional Requirements.

(a) Board members, officers, and employees are subject to the prohibition on the receipt of honoraria set forth in the Political Reform Act and regulations of the Fair Political Practices Commission.

(b) No Board member, officer, or employee shall receive or agree to receive, directly or indirectly, an honorarium.

Article 4. Enforcement.

Sec.

7311. Violation of Ethics Policy

7312. Inquiry and Review Committee

§ 7140. Violation of Ethics Policy.

(a) When the Ethics Officer concludes, after investigation by the Inquiry and Review Committee, with the advice of General Counsel, that substantial evidence exists that indicates that a member of the Board is in non-compliance with state law, the matter will be referred to

the Fair Political Practices Commission, Attorney General, or District Attorney, as applicable, with notice of the referral provided to the Board, Board member and the appointing member agency at the time of the referral. When the Ethics Officer concludes, after investigation by the Inquiry and Review Committee, with advice of General Counsel, that substantial evidence exists that indicates that a member of the board is in non-compliance with the Ethics Policy or Administrative Code, the matter will be referred to the Executive Committee, with prompt notice to the Board member, with a recommendation for appropriate action, which can include, but is not limited to: (1) notification of finding of non-compliance; (2) letter of reprimand; (3) letter of reprimand with copy to the appointing agency; (4) request to the appointing agency for replacement of the Board member.

(b) A Director who is subject to a finding of non-compliance with the Ethics Policy by the Ethics Officer shall, at the time the matter is referred to the Executive Committee, be provided a copy of all of the material upon which the determination was based, and have the opportunity to present any relevant information, data, or facts in his or her own defense prior to the Executive Committee determination.

(c) Any Director who is dissatisfied with a determination by the Ethics Officer, after investigation by the Inquiry and Review Committee, that no violation or non-compliance occurred may appeal the determination to the Executive Committee for review.

(d) Violation of the Ethics Policy by officers or employees will be handled through existing disciplinary procedures.

§ 7141. Inquiry and Review Committee.

(a) The Inquiry and Review Committee is a committee that investigates ethics complaints against Metropolitan directors, officers and employees. The committee shall be composed of the Ethics Officer, three elected members of the Board and three staff members, one appointed by the Chief Executive Officer, one appointed by the General Counsel and one appointed by the General Auditor. The elected directors shall serve staggered three-year terms, with the initial terms being for either one, two or three years. Members of the committee may be re-elected or reappointed to their positions.

(b) The Ethics Officer shall refer ethics complaints to the committee, and is a non-voting member of the committee.

(c) Five of the six voting members of the committee, comprised of the directors and executive staff, shall vote on the findings of an investigation of a complaint according to the following rules:

(1) For an allegation against a director, one of the staff members shall be excused from participating in the investigation of that complaint.

(2) For an allegation against an employee, one of the director members shall be excused from participating in the investigation of that complaint.

(3) Committee members shall take turns excusing themselves from participating in a complaint, except that members must excuse themselves, or may be removed by vote of the other committee members, from participating in the investigation of a complaint involving his or her conflict of interest, or the appearance of a conflict of interest or any impropriety. No committee member shall be involved in the investigation of a complaint that involves his or her area of responsibility.

(d) The committee shall submit findings involving employees, along with any dissent, to the appropriate department head for action. The committee shall submit findings involving directors, along with any dissent, to the Executive Committee for action. A report on action to be taken in response to the findings must be submitted to the Ethics Office.

(e) The Ethics Officer shall review and summarize all ethics complaints in a quarterly report to the Board of Directors. The General Counsel shall receive a copy of all findings, reports and actions concerning complaints.

Chapter 2

DISCLOSURE OF ECONOMIC INTERESTS

Article 1. Conflict of Interest Code

Sec.

7200 Incorporation of Title 2, California Code of Regulations

7205 Filing of Statements of Economic Interests

§ 7200. Incorporation of Title 2, California Code of Regulations.

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 has adopted a regulation (2 Cal. Code of Regs., Sec. 18730) which 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 it may be amended by the Fair Political Practices Commission 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 Fair Political Practices Commission are hereby incorporated by reference. This regulation and the

attached Appendix designating officials, employees, and other individuals and establishing disclosure categories shall constitute the conflict of interest code of The Metropolitan Water District of Southern California.

§ 7205. Filing of Statements of Economic Interests.

Designated employees and other designated individuals shall file their statements with The Metropolitan Water District of Southern California which will make the statements available for public inspection and reproduction. (Gov. Code, Sec. 81008.) Upon receipt of the statements for the Board of Directors, the agency shall make and retain a copy and forward the original to the Fair Political Practices Commission. Statements for all other designated employees and designated individuals will be retained by the agency.

Article 2

**DESIGNATED POSITIONS AND CATEGORIES
OF DISCLOSURE INDEX**

Sec.

- 7210. General Provisions
- 7211. Officers of the District
- 7212. Office of the Chief Financial Officer
- 7213. Water System Operations Group
- 7214. Corporate Resources Group
- 7215. Water Resources Management Group
- 7216. Office of the Chief Executive Officer
- 7217. Ethics Office
- 7218. Office of the Chief Operating Officer
- 7219. Legal Department
- 7220. Officials Who Manage Public Investments
- 7221. Budget Disbursement Agents
- 7222. Consultants

§ 7210. General Provisions.

(a) Investments, business positions in any business entity and sources of income listed in Column II of Sections 7211 through 7222 are disclosable if:

(1) The business entity in which the investment or business position is held is of the type which has contracted with Metropolitan within the previous two years; or

(2) The business entity in which the investment or business position is held is of the type which has furnished supplies or services as a subcontractor under any contract with Metropolitan within the previous two years; or

(3) The source of income is of the type which has contracted with Metropolitan within the previous two years; or

(4) The source of income is of the type which has furnished supplies or services as a subcontractor under any contract with Metropolitan within the previous two years.

(b) Where real property is made reportable in Column II of Sections 7211 through 7222, designated employees within Section 7211(a) shall report as an interest in real property any undeveloped real property located within Metropolitan's jurisdiction. For this purpose, "undeveloped real property" is defined as real property for which there are no current water connections available from Metropolitan to the retail supplier of water and such water connections would be necessary to provide a water supply to the property, or for which larger water delivery facilities from Metropolitan are required before increased water service can be provided for a presently contemplated change in the use to which the property is put.

Where real property is made reportable all designated employees shall disclose any interests in real property within two miles of any Metropolitan land if, within the previous two years, Metropolitan has engaged in a real property transaction or a change in use designation of that land or if Metropolitan has under active consideration such a transaction or change in designation affecting or involving that land at the time of filing.

(c) A designated employee must disclose that the designated employee is a director, officer, partner, trustee, employee, or holds any position of management in a business entity listed in Column II of Sections 7211 through 7222 doing business within Metropolitan's jurisdiction and which is of the type which has contracted with Metropolitan or has furnished supplies or services as a subcontractor under any contract with Metropolitan within the previous two years.

(d) Employees who fill the positions of designated employees by temporary appointment for a *de minimis* period of time, not to exceed three consecutive weeks during the calendar year, shall not be deemed to be designated employees under this Conflict of Interest and Disclosure of Personal Finances Code.

§ 7211. Officers of the District.

(a)

- | | |
|---------------------------|--|
| Chief Executive Officer | 1. Office equipment and supplies |
| Chief Operating Officer | 2. Banks and savings and loan institutions |
| General Counsel | 3. Securities dealers |
| Assistant General Counsel | 4. Real property |
| General Auditor | 5. Public utilities |
| Assistant General Auditor | 6. Financial audit services |
| Ethics Officer | 7. Insurance services |
| Controller | 8. Computer equipment, services and supplies |
| Assistant Controller | 9. Printing, reproduction, or photographic equipment services and supplies |
| | 10. Periodicals, books, newspapers |
| | 11. Chemicals |
| | 12. Motor vehicles and specialty vehicles, parts and supplies |
| | 13. Construction and maintenance equipment, services and supplies |
| | 14. Petroleum products |
| | 15. Transportation and lodging services |
| | 16. Safety and security services, equipment and supplies |
| | 17. Food services and supplies |
| | 18. Communication services |
| | 19. Water quality testing equipment, services and supplies |
| | 20. Cathodic protection equipment, services and supplies |
| | 21. Engineering services |
| | 22. Employment and temporary help agencies |
| | 23. Educational equipment, services and supplies |
| | 24. Medical supplies, services and informational materials |
| | 25. Landscape services and supplies |
| | 26. Typographical services |
| | 27. General and specialty equipment rentals |
| | 28. Real estate sales and investment firms |
| | 29. Consulting services: legal, energy and power, engineering, soil testing, water treatment, data processing, computers, doctors, labor relations, employee training, advertising, communications, design, art work, audio visual, movie products, planning, water pricing and demand, water resources, economists, desalting, financial environmental, appraisers, investment, hazardous waste disposal. |
| | 30. Title insurance and escrow services |
| | 31. Farming |
| | 32. Private water companies |
| | 33. Electrical generating equipment and supplies |
| | 34. Electrical equipment and supplies |
| | 35. Real estate development firms |
| | 36. Any business entity selling or leasing real property to, or purchasing or leasing real property from the District |

(b)

- | | |
|-----------------------------------|------------------|
| Members of the Board of Directors | See Section 7220 |
| Chief Financial Officer | |

Treasurer

Assistant Treasurer

§ 7212. Office of the Chief Financial Officer.

Financial Services

(1)

- Section Manager – Controller
- Section Manager Treasury and Debt Management
- Section Manager Budget and Financial Planning
- Unit Manager - Assistant Controller
- Deputy Treasurer
- Team Manager – Payroll/Accounts Payable
- Program Manager – Rates and Charges

- 1. Banks and savings and loan institutions
- 2. Financial audit services
- 3. Consulting services (investments, investment banking, brokers, economists, planning, water pricing, and other financial services, including financial reporting)
- 4. Securities dealers
- 5. Information Technology consulting services (e.g. computers, data processing, and engineering)

(2)

Unit Manager Risk Management

- 1. Consulting services (insurance, actuarial, risk management, claims administration, health, safety and environmental services)
- 2. Insurance companies

§ 7213. Water System Operations Group.

(a)

Water System Operations Group Manager
Water System Operations Group Assistant Manager

- 1. Airplane equipment and supplies
- 2. Boating/marina related supplied and services
- 3. Chemicals
- 4. Communication services
- 5. Construction and building equipment and supplies
- 6. Consulting services (energy and power, operations, maintenance-related services, water quality, water quality regulations, water treatment, engineering, planning, security and guard services, emergency preparedness, communications, recreation-related services, control systems (including SCADA), environmental assessment, permitting, legislative medical, claims administration, health and safety.)
- 7. Electrical equipment, parts and supplies
- 8. Electronic supplies and equipment
- 9. Energy equipment and supplies
- 10. First-aid materials and supplies, related training and services
- 11. Food services and supplies
- 12. Hardware, tools and supplies
- 13. Hazardous waste disposal/treatment services
- 14. Investigative security services and security-related equipment and supplies
- 15. Maintenance supplies
- 16. Motor vehicles and specialty vehicles, parts and

- supplies
 - 17. Petroleum products
 - 18. Pipes, valves, fittings, pumps, meters, equipment and supplies
 - 19. Public utilities
 - 20. Real property
 - 21. Safety, health and medical services and supplies; safety equipment and supplies
 - 22. Software, including control systems, SCADA, maintenance management, energy and water planning
 - 23. Telecommunications equipment and supplies
 - 24. Training materials & supplies (apprenticeship program related)
 - 25. Water quality testing, equipment, supplies and services
 - 26. Weed abatement/landscape maintenance related contracts
 - 27. Janitorial services
- (b) Program Manager I – Apprenticeship Program
- 1. Training materials & supplies (apprenticeship program related)
- (b) Security & Emergency Management Unit Manager
Security & Emergency Management Unit Manager
Security Team Manager
- 1. Consulting services (security and guard services, emergency preparedness)
 - 2. Investigative security services and security-related equipment and supplies
- (c) Workplace Health & Safety Unit Manager
Workplace Health & Safety Unit Manager
Industrial Hygiene Team Manager
- 1. Safety, health and medical services and supplies
 - 2. Consulting services (health and safety, medical training, claims administration)
 - 3. Hazardous waste disposal / treatment services
 - 4. Equipment and supplies (safety, security and training)
- (d) Business Management Team Manager
Business Management Team Manager
- 1. Consulting services (management and communications)
- (e) Recreation Team Manager
Recreation Team Manager
- 1. Boating/marina related supplies and services
 - 2. Consulting services (recreation related)
 - 3. Construction and building equipment and supplies
 - 4. Electrical equipment, parts and supplies
 - 5. First-aid, safety equipment and supplies
- (f) Operations & Maintenance Planning Section Manager
Operations & Maintenance Planning Section Manager
- 1. Communication services
 - 2. Consulting services (energy and power, operations, maintenance-related services, planning, communications, and control systems (including SCADA))
 - 3. Electrical equipment, parts and supplies
 - 4. Electronic supplies and equipment
 - 5. Energy equipment and supplies
 - 6. Maintenance supplies
 - 7. Pipes, valves, fittings, pumps, meters, equipment and supplies
 - 8. Public utilities
 - 9. Software, including control systems, SCADA, maintenance management, energy and water planning

- 10. Telecommunications equipment and supplies
 - 11. Real property
- (g)
Operations Planning Unit
Operations Planning Unit Manager
Planning & Program Development Team Manager
Program Manager II, Program Manager I
- 1. Consulting services (engineering, planning, energy and power, and control systems (including SCADA))
 - 2. Energy equipment and supplies
 - 3. Software, including control systems, SCADA, energy and water planning
 - 4. Public utilities
 - 5. Real property
- (h)
System Operations Unit
System Operations Unit Manager
Operations Control Center Team Manager
- 1. Communication services
 - 2. Consulting services (engineering, communications, control systems (including SCADA))
 - 3. Electronic supplies and equipment
 - 4. Pipes, valves, fittings, pumps, meters, equipment and supplies
 - 5. Public utilities
 - 6. Software, including control systems, communications, SCADA, maintenance management, energy and water planning
 - 7. Telecommunications equipment and supplies
- (i)
Maintenance Planning Unit
Maintenance Planning Unit Manager
- 1. Consulting services (maintenance-related services)
 - 2. Maintenance equipment and supplies
 - 3. Pipes, valves, fittings, pumps, meters, equipment and supplies
 - 4. Public utilities
 - 5. Software, including maintenance management
- (j)
Conveyance and Distribution Section
Conveyance and Distribution Section Manager
Conveyance and Distribution Unit Managers
- 1. Airplane equipment and supplies
 - 2. Chemicals
 - 3. Construction and building equipment and supplies
 - 4. Consulting services (engineering, planning, emergency preparedness)
 - 5. Electrical equipment, parts and supplies
 - 6. Electronics equipment and supplies
 - 7. Food services and supplies
 - 8. Hardware, tools and supplies
 - 9. Petroleum products
 - 10. Pipes, valves, fittings, pumps, meters, equipment supplies
 - 11. Public utilities
 - 12. Real property
 - 13. Safety equipment and supplies
 - 14. Weed abatement/landscape maintenance related contracts
 - 15. Janitorial services
- Eastern Region
 - Western Region
 - Desert Region
- Team Managers
- Business Support for Eastern Region
 - Business Support for Western Region
 - Business Support for Desert Region
 - Orange County Teams 1 & 2
 - Riverside
 - Lake Skinner
 - Diamond Valley Lake
 - Los Angeles Teams 1 & 2
 - La Verne
 - Valley
 - Aqueduct Maintenance
 - Trades
 - Pump Maintenance
 - Powerline Maintenance
 - Gene/Intake

- Iron Mountain
- Eagle/Hinds
- Facilities Services
- Control Systems – Desert Region
Landscape Maintenance

Coordinators
(k)

Water Treatment Section
Water Treatment Section Manager
Unit Managers

- Jensen
- Weymouth
- Diemer
- Mills
- Skinner

Team Managers

- Business Support for Jensen
- Business Support for Weymouth
- Business Support for Diemer
- Business Support for Mills
- Business Support for Skinner
- Jensen O & M Teams 1 & 2
- Weymouth O & M Teams 1 & 2
- Diemer O & M Teams 1 & 2
- Mills O & M Teams 1 & 2
- Skinner O & M Teams 1 & 2
- Control Systems for Jensen
- Control Systems for Weymouth
- Control Systems for Diemer
- Control Systems for Mills
- Control Systems for Skinner

Principal Engineer – Ozone and residual management, water treatment and quality studies

1. Weed abatement/landscape maintenance related contracts
1. Chemicals
 2. Construction and building equipment and supplies
 3. Consulting services (engineering, planning, operations, emergency preparedness, water treatment and quality)
 4. Electrical equipment, parts and supplies
 5. Electronic equipment and supplies
 6. Hardware, tools and supplies
 7. Motor vehicles and specialty vehicles, parts and supplies
 8. Pipes, valves, fittings, pumps, meters, equipment and supplies
 9. Public Utilities
 10. Safety equipment and supplies
 11. Software, including control systems (SCADA), energy monitoring
 12. Telecommunications equipment and supplies
 13. Janitorial services

(l)

Water Quality Section
Water Quality Section Manager
Senior Environmental Specialist – Water Quality Regulations
Unit Managers

- Microbiology
- Water Purification
- Chemistry

Team Managers

- Quality Assurance
- Business Support
- Microbiology Compliance
- Microbiology Development
- Reservoir Management
- Operations Compliance
- Engineering Compliance
- Process Development
- Organic Chemistry Compliance
- Chemistry Development

1. Boating related supplies and services
2. Chemicals
3. Consulting services (water quality, water quality regulations, water treatment)
4. Safety equipment and supplies
5. Water quality testing, equipment, supplies and services

- Inorganic Chemistry Compliance
- Plant Laboratory
- Principal Environmental Specialist – Advanced Disinfectant/Disinfection By-Product Studies
- Senior Research Chemist – Advanced Organic Precursors/Organic Compound Studies

(m)

- Operations Support Services Section
- Operations Support Services Section Manager
- Unit Managers
- Construction Services
- Maintenance Support
- Power Support
- Environmental Support Services
- Fleet Maintenance
- Team Managers
- Business Support – Construction Services
- Business Support – Maintenance support
- Business Support – Fleet Maintenance
- Construction Teams 1, 2 and 3
- Construction Projects
- Production Planning
- Fabrication Shop
- Valve / Dive
- Machine Shop
- Coatings
- HVAC
- Hydro Electric
- Hazardous Materials Management
- Environmental Technical Services
- East
- West
- Central
- Desert

1. Airplane equipment and supplies
2. Communication services
3. Construction and building equipment and supplies
4. Consulting services (engineering, environmental assessment, permitting, legislative, medical, health and safety)
5. Electronics supplies and equipment
6. Electrical equipment, parts and supplies
7. First-aid materials and supplies, training and services
8. Food services and supplies
9. Hardware, tools and supplies
10. Hazardous waste disposal/treatment services
11. Maintenance supplies
12. Motor vehicles and specialty, vehicles, parts and supplies
13. Petroleum products
14. Pipes, valves, fittings, pumps, meters, equipment and supplies
15. Public utilities
16. Real property
17. Safety equipment and supplies
18. Janitorial services

§ 7214. Corporate Resources Group

(a)

Corporate Resources Group Manager

Same as Chief Executive Officer (See Section 7211 (a))

(b)

- Project Coordination Program Manager
- Program Manager – Corporate Resources

1. Consulting services, e.g. engineering
2. Equipment and supplies, e.g. those related to construction, rehabilitation and safety

(c)

Engineering Services Section Manager

3. Construction firms
4. Public utilities
5. Motor vehicles and specialty vehicles, parts and

(1)

Engineering Services Assistant Section
 Manager
 Inland Feeder Program Manager
 Inland Feeder Program Management
 Team Manager
 Technical Control Team Manager
 Business Management Team Manager

- supplies
- 6. Real property
- 7. Printing and reproduction services

(2)

Design Unit Manager
 Treatment Plant/Equipment Design
 Team Manager
 Pipeline and Facility Design Team
 Manager
 Power/Instrumentation Design Team
 Manager
 General Design Team Manager
 Design Support Team 1 Manager
 Design Support Team 2 Manager

- 1. Consulting services, e.g. benchmarking, training
- 2. Equipment and supplies
- 3. Printing and reproduction services
- 1. Consulting services, e.g. engineering, design, geotechnical
- 2. Equipment and supplies, e.g. those related to construction, rehabilitation, instrumentation, electrical and safety
- 3. Construction firms
- 4. Real property
- 5. Public utilities

(3)

Infrastructure Unit Manager
 Materials & Metallurgy Team Manager
 Corrosion Control Team Manager

 Survey Mapping Team Manager
 Safety of Dams Team Manager
 Right-of-Way Engineering Team
 Manager
 Field Survey Team Manager

- 1. Consulting services, e.g. engineering, and cathodic protection, title insurance, and escrow services
- 2. Equipment services and supplies for surveying, cathodic protection, coatings, concrete testing, and safety and related activities
- 3. Public utilities
- 4. Real property
- 5. Printing and reproduction services
- 6. Vendors, e.g. dam surveillance and groundwater monitoring and telemetry equipment

(4)

Inspection Unit Manager
 --Inspection Team Manager #1
 --Inspection Team Manager #2
 --Inspection Team Manager #3
 --Soils & Concrete Team Manager
 --Fabrication and Inspection Team

- 1. Consulting services, e.g. engineering
- 2. Construction firms
- 3. Equipment and supplies, e.g. those related to inspection, construction, rehabilitation and safety
- 4. Public utilities
- 5. Printing and reproduction services

Manager

(5)

Program Management Unit Manager
 --Construction Contract Administration
 Team Manager
 --Construction Contract Development
 Team Manager
 --Project Support Team Manager
 --Distribution System Program
 Management Team Manager
 --Treatment Plant Program
 Management Team Manager
 --Conveyance/Storage Program
 Management Team Manager

- 1. Consulting services, e.g. engineering
- 2. Construction firms
- 3. Equipment and supplies, e.g. those related to construction, rehabilitation and safety
- 4. Public utilities
- 5. Real property
- 6. Printing and reproduction services

(6)

Asset Management and Facility

- 1. Real property

Planning Unit Manager

- Facility Planning Team Manager
- Substructures Team Manager
- Environmental Planning Team

Manager

- Property Management Team

Manager

- Acquisition and Appraisal Team

Manager

- Hydraulics Team Manager

2. Public utilities
3. Engineering services
4. Real estate development firms
5. Consulting services, e.g. engineering, environmental, financial, energy and power, water resources, water pricing and demand, real estate appraisers, hydraulics
6. Printing and reproduction services
7. Real estate sales and investment firms
8. Any business entity selling or leasing real property from Metropolitan
9. Escrow services
10. Data Services
11. Related Equipment and supplies

(d)

Information Technology Section Manager

--Program Manager of Conveyance Treatment and Distribution Automation in the IT Section

- Quality Assurance Team Manager
- Information Security Team Manager
- Business Management Team Manager
- Client Services Unit Manager
- Client Support Team Manager
- Desktop Services Team Manager
- Project Management Unit Manager
- Project Management Unit Program

Manager

- Information Technology Infrastructure

Unit Manager

- Program Manager – IT Infrastructure
- Telecommunications Services Team

Manager

- Database and Information Technology
- Operations Manager
- Server Maintenance Team Manager
- Application Support Unit Manager
- Enterprise Application Team Manager
- Business Application Team Manager
- Control System Application Team

Manager

- GIS Application Team Manager

(e)

Business Services Section Manager

1. Consulting services, e.g. printing, reproduction, publishing, technical writing, transportation, maintenance, safety, food service
2. Equipment and supplies, e.g. chemicals, motor vehicles, computer hardware, software, tools, parts, petroleum products, safety, furniture, office equipment and supplies, maintenance supplies, telecommunications
3. Services, e.g. transportation & lodging services, publishing, maintenance, food service, air conditioning repair, landscape, movers, record storage, microfilming, travel agency
4. Public utilities

- | | |
|---|--|
| <p>(1)
Business Management Team Manager</p> | <p>Periodicals, books, subscriptions and newspapers</p> <ol style="list-style-type: none"> 1. Consulting services, e.g. printing, reproduction, publishing, technical writing, maintenance, safety, food service, travel agency 2. Equipment, supplies and services, e.g., those related to printing, reproduction, publishing, technical writing, transportation, maintenance safety, food service, contracting, safety 3. Newspapers, books and periodicals 4. Transportation & lodging services |
| <p>(2)
Contracting Services Unit Manager
Procurement team Manager
--Inventory Management Team Manager
--Professional Service Contract Development Team Manager</p> | <ol style="list-style-type: none"> 1. Consulting services 2. Equipment and supplies, e.g. chemicals, motor vehicles, computer hardware, software, tools, parts, petroleum products, safety, office equipment and supplies, maintenance supplies, telecommunications 3. Services, e.g. transportation & lodging services, publishing, maintenance, food service, telecommunications, travel agency 4. Public utilities 5. Periodicals, books, subscriptions and newspapers |
| <p>(3)
Facilities Services Unit Manager
Transportation & Mail Team Manager
Facilities Management Team Manager</p> | <ol style="list-style-type: none"> 1. Consulting services 2. Equipment and supplies, e.g. motor vehicles, tools, parts, furniture, office equipment and supplies, maintenance supplies 3. Services, e.g. transportation, maintenance, food service, landscape, movers, air conditioner repair |
| <p>(4)
Document Services Unit Manager
Graphic Design Team Manager
Reprographics Team Manager
Technical Writing Team Manager
Records Management Team Manager</p> | <ol style="list-style-type: none"> 1. Consulting services, e.g. graphics, technical writing photography 2. Equipment and supplies, e.g. printing, copying photographic, video 3. Services, e.g. publishing, record storage, microfilming 24. Periodicals, books, newspapers |

§ 7215. Water Resource Management Group.

- | | |
|--|--|
| <p>(a)
Group Manager – Water Resource Management
Assistant Group Manager – Water Resource Management
Resource Planning & Development Section Manager
--Resource Analysis Unit Manager
--System Analysis Unit Manager
--Program Manager – Transfers and Exchange Issues
--Program Manager – Groundwater Storage Issues
Program Manager – Bay Delta Issues</p> | <ol style="list-style-type: none"> 1. Public utilities 2. Engineering services 3. Real property 4. Farming 5. Private water companies 6. Real estate development 7. Construction and maintenance equipment, services and supplies 8. Consulting services (energy and power, economists, engineering, environmental, financial, planning, desalting, water pricing and demand, water resources, water conservation. 9. Landscape services and supplier |
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Resource Implementation Section
Manager

- Imported Supply Unit Manager
- Regional Supply Unit Manager
- Program Manager – State Water

Project Issues

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- Program Manager – Colorado River

Resources Issues

- Program Manager – Water Use

Efficiency

10. Energy and Power

§ 7216. Office of the Chief Executive Officer

(a)

- Chief Operating Officer
- Executive Vice President
- Vice President – External Affairs
- Vice President – Colorado River
- Vice President – State Water Project

Same as Chief Executive Officer (See Section 7211 (a))

(b)

- Executive Secretary

1. Transportation and lodging services
2. Food services and supplies

(c)

Human Resources Section Manager

(1)

- Employee Relations Team Manager
- Equal Employment Opportunity Team Manager
- Human Resources Service and Compliance Unit Manger
- Classification/Compensation & Benefits Team Manager
- Staffing, Assessment & Performance Management Team Manager
- Training and Organizational Effectiveness Unit Manager

1. Consulting services, e.g. employee training, labor and employee relations, medical benefits
2. Equipment, supplies and services e.g., those related to training, safety, advertising, insurance
3. Printing and reproduction services
4. Employment agencies
5. Newspapers, books and periodicals

(d)

External Affairs Group

- Vice-President External Affairs
- Group Manager / External Affairs
- Assistant Group Manager / External Affairs

Same as Chief Executive Officer (See § 7211 (a))

- Executive Legislative Representative – Washington, DC
- Executive Legislative Representative - Sacramento

- Section Manager / Customer and Community Relations
- Unit Manager – Community Partnering
- Unit Manager – Customer Service
- Unit Manager – Education and Facilities

1. Newspapers, books and periodicals
2. Hotel and motel accommodations, restaurants, bus and airline charter

- Inspection

1. Newspapers, books and periodicals
2. Educational equipment, services and supplies
3. Consulting services (communications, design, art work,

Section Manager / Media Services
Program Manager – Press Office
Program Manager - Web

audio-visual

1. Advertising and mail services
2. Audio or visual aids
3. Newspapers, books and periodicals
4. Consulting services (advertising, communications, design, art work, audio-visual, education, movie productions)
5. Art supplies
6. Typographical services
7. Paper supplies

Section Manager / Legislative Services
Government Relations Representative

Same as Chief Executive Officer (See § 7211 (a))

1. Hotel and motel accommodations, restaurants, bus and airline charter
2. General and specialty equipment rentals
3. Employment agencies
4. Consultants (public relations)

Business Outreach Manager

Same as Chief Executive Officer (See § 7211 (a))

§ 7217. Office of Ethics

Ethics Educator

Same as Chief Executive Officer (See § 7211 (a))

§ 7218. Office of the Chief Operating Officer

(a)

Water System Operations Group Manager
Corporate Resources Group Manager
Water Resource Management Group
Manager

Same as Chief Executive Officer (See § 7211 (a))

§ 7219 Legal Department.

(a)

Chief Deputy General Counsel
Senior Deputy General Counsel
Deputy General Counsel
Associate Deputy General Counsel

Same as Chief Executive Officer (See § 7211(a))

§ 7220. Public Officials Who Manage Public Investments.

The persons in the positions listed below manage or approve public investments and will file a statement of economic interests pursuant to Government Code Section 87200:

Members of the Board of Directors
Chief Financial Officer
Treasurer
Assistant Treasurer

§ 7221. Budget Disbursement Agents.

Group Managers may grant authority to approve purchase requisitions of up to \$250,000 to any employee within his or her Group on a business case basis regardless of job classification, provided that such purchase has been expressly authorized in the Board-approved annual budget for the applicable fiscal year. Such authorization must be in writing and will be reviewed annually in conjunction with Board approval of Metropolitan's annual budget.

Each Group is responsible for reporting any such delegation of authority to an employee (a "Budget Disbursement Agent") to the Human Resources Section and the Legal Department. All Budget Disbursement Agents will be listed on a report distributed to Group management and updated monthly. Each Budget Disbursement Agent will be responsible for disclosure pursuant to the broadest disclosure category in the employee's section or Group.

§ 7222. Consultants.

Consultants providing the services of designated employees 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 Chief 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 Chief 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.