

APPENDIX

CONFLICT OF INTEREST CODE OF THE COUNTY OF SANTA CLARA

EXHIBIT “A”
LIST OF DESIGNATED POSITIONS FOR
FINANCE AGENCY

Designated Position	Disclosure Category
Controller – Treasurer	
Accountant III, Debt Unit, Controller-Treasurer	3
Administrative Support Officer I, Controller-Treasurer	4
Administrative Support Officer II, Controller-Treasurer	4
Associate Management Analyst, Controller-Treasurer	4
Business Information Technology Consultant, Controller-Treasurer	4
Controller-Treasurer Accounting Manager	3
Controller-Treasurer Division Manager	1
Debt Management Officer	1
Director, Financial and Business Operations	1
Director, Information Systems - Finance Agency	1
Fiscal Systems Manager	1
Information Systems Manager III, Controller-Treasurer	4
Internal Audit Manager	4
Management Analyst, Controller-Treasurer	4
Payroll Audit Supervisor	3
Senior Accountant, Claims Unit, Controller-Treasurer	3
Senior Accountant, Debt Unit, Controller-Treasurer	3
Senior Accountant, Property Tax Unit, Controller-Treasurer	3
Senior Business Information Technology Consultant, Controller-Treasurer	4
Senior Internal Auditor, Controller-Treasurer	4

Designated Position	Disclosure Category
Senior Management Analyst, Controller-Treasurer	4
Supervising Internal Auditor	4
Tax Roll Manager	3
County Clerk – Recorder	
County Clerk/Recorder	1
Accountant/Auditor Appraiser, Clerk-Recorder	4
Accountant II, Clerk-Recorder	4
Accountant III, Clerk-Recorder	4
Administrative Support Officer I, Clerk-Recorder	4
Administrative Support Officer II, Clerk-Recorder	4
Assistant County Clerk/Recorder	1
Information Systems Analyst II, Clerk-Recorder	4
Information Systems Manager I, Clerk-Recorder	4
Information Systems Manager II, Clerk-Recorder	4
Information Systems Manager III, Clerk-Recorder	4
Management Analyst, Clerk-Recorder	4
Program Manager II, Clerk-Recorder	4
Senior Management Analyst, Clerk-Recorder	4
Department of Tax and Collections	
Accountant III, DTAC	4
Administrative Services Manager I, DTAC	4
Administrative Services Manager II, DTAC	4
Assistant Director, Department of Tax and Collections	1
Department of Tax and Collections Division Manager	1
Director, Department of Tax and Collections	1
Information Systems Manager III, DTAC	1
Management Analyst, DTAC	4
Senior Accountant, DTAC	4

Designated Position	Disclosure Category
Senior Financial Analyst, DTAC	4
Senior Management Analyst, DTAC	4
Supervising Revenue Collections Officer, DTAC	4
Tax and Collections Manager, DTAC	3
Applicable to Entire Finance Agency	
Consultant	2

APPENDIX
CONFLICT OF INTEREST CODE OF THE COUNTY OF SANTA CLARA
EXHIBIT “B”
DISCLOSURE CATEGORIES FOR
FINANCE AGENCY

Pursuant to the County of Santa Clara’s Conflict of Interest Code, Disclosure Categories 1 and 2 shall read as follows for all Code Agencies.

Disclosure Category 1: Persons in this category shall disclose:

(1) all investments in, business positions in, and income (including gifts, loans and travel payments) from:

(a) all sources that provide, plan to provide, or have provided in the last two years, facilities, goods, software, hardware, or related technology, equipment, vehicles, machinery or services, including training or consulting services, to the County;

(b) all sources that are subject to the regulatory, monitoring, investigatory, enforcement, valuation, certification, permit or licensing authority of, or have an application for a license, permit or certificate pending before, the County;

(c) all sources that receive, are planning to apply to receive, or have received in the last two years, grants or other monies from or through the County; and sources that receive referrals to provide assessments and/or treatments that are required or recommended by the County; and

(2) all interests in real property in the County of Santa Clara located entirely or partly within the County, or within two miles of County boundaries, or of any land owned or used by the County.

Disclosure Category 2: Each Consultant shall disclose: (1) all investments in, business positions in, and income (including gifts, loans and travel payments) from: (a) all sources that provide, plan to provide, or have provided in the last two years, facilities, goods, software, hardware, or related technology, equipment, vehicles, machinery or services, including training or consulting services, to the County; (b) all sources that are subject to the regulatory, monitoring, investigatory, enforcement, valuation, certification, permit or licensing authority of, or have an application for a license, permit or certificate pending before, the County; (c) all sources that receive, are planning to apply to receive, or have received in the last two years, grants or other monies from or through the County; and

sources that receive referrals to provide assessments and/or treatments that are required or recommended by the County; and (2) all interests in real property in the County of Santa Clara located entirely or partly within the County, or within two miles of County boundaries, or of any land owned or used by the County, subject to the following limitation: the Code Agency for which a consultant works may determine in writing, following approval by County Counsel as to form and legality, that the particular consultant is hired to perform a range of duties that is limited in scope and, thus, is not required to comply with the full disclosure requirements described above, but instead must comply with more tailored disclosure requirements specific to that consultant. Such a determination shall include a description of the consultant's duties and, based upon that description, a statement of the extent of disclosure requirements.

In addition to the above two categories, the Finance Agency shall have the following categories:

Disclosure Category 3: Persons in this category shall disclose:

- (1) all investments in, business positions in, and income (including gifts, loans and travel payments) from:
 - (a) all sources that provide, plan to provide, or have provided in the last two years, facilities, goods, software, hardware, or related technology, equipment, vehicles, machinery or services, including training or consulting services, to the Finance Agency;
 - (b) all sources that are subject to the monitoring, investigatory, collection, enforcement, or recording authority of the Finance Agency;
 - (c) all sources that receive, are planning to apply to receive, or have received in the last two years, grants or other monies (i) from or through the Finance Agency, or (ii) from or through the County related to the work of the Finance Agency; and
- (2) all interests in real property in the County of Santa Clara located entirely or partly within the County, or within two miles of County boundaries, or of any land owned or used by the County.

Disclosure Category 4: Persons in this category shall disclose all investments in, business positions in, and income (including gifts, loans and travel payments) from:

- (1) all sources that provide, plan to provide, or have provided in the last two years, facilities, goods, software, hardware, or related technology, equipment, vehicles, machinery or services, including training or consulting services, to the Finance Agency;
- (2) all sources that are subject to the monitoring, investigatory, collection, enforcement, or recording authority of the Finance Agency; and
- (3) all sources that receive, are planning to apply to receive, or have received in the last two years, grants or other monies (a) from or through the Finance Agency, or (b) from or through the County related to the work of the Finance Agency.

Disclosure Category 5: Persons in this category shall disclose all investments in, business positions in, and income (including gifts, loans and travel payments) from all sources that provide facilities, goods, software, hardware, or related technology, equipment, machinery, or services, including training or consulting services, related to information systems, computers, networks, applications, technological infrastructures or architectures, or telecommunications of the type utilized by the Finance Agency.