

**APPENDIX**

**CONFLICT OF INTEREST CODE OF THE COUNTY OF SANTA CLARA**

**EXHIBIT “A”**  
**LIST OF DESIGNATED POSITIONS FOR**  
**PROBATION DEPARTMENT**

<b>Designated Position</b>	<b>Disclosure Category</b>
Chief Probation Officer	1
Administrative Services Manager-Probation	1
Application Developer	4
Business Systems Analyst	4
Data Analyst	4
Data Engineer	4
Database Administrator	4
Departmental Fiscal Officer	4
Deputy Chief Probation Officer	1
Deputy Director of Probation Administration	1
Director of Research and Outcome Measurement	4
Financial Analyst I	4
Financial Analyst II	4
Infrastructure Engineer	4
IT Manager	1
Principal IT Manager	1
Probation Division Manager	4
Program Manager I	4
Program Manager II	4
Research and Evaluation Specialist	4
Senior Application Developer	4

<b>Designated Position</b>	<b>Disclosure Category</b>
Senior Departmental Fiscal Officer	1
Senior Management Analyst	4
Senior Research and Evaluation Specialist	4
Consultant	2

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**EXHIBIT “B”**  
**DISCLOSURE CATEGORIES FOR**  
**PROBATION DEPARTMENT**

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 Probation Department 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, (i) to the Probation Department, or (ii) to the County as part of its administration, assessment, investigation, rehabilitation, or supervision of adult or juvenile offenders;

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

(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 Probation Department, or (ii) from or through the County related to the work of the Probation Department; 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 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, (a) to the Probation Department, or (b) to the County as part of its administration, assessment, investigation, rehabilitation, or supervision of adult or juvenile offenders;
- (2) all sources that are subject to the regulatory, monitoring, investigatory, enforcement, or certification, authority of, or have an application for a certificate pending before, the Probation Department; 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 Probation Department, or (b) from or through the County related to the work of the Probation Department; and sources that receive referrals to provide assessments and/or treatments that are required or recommended by the County.