



EAST BAY MUNICIPAL UTILITY DISTRICT
NOVEMBER 5, 2024
ELECTION

WARD 1 (Incumbent L. McIntosh)

WARD 2 (Incumbent L. Gómez)

WARD 5 (Incumbent D. Linney)

WARD 6 (Incumbent W. Patterson)

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CANDIDATE INFORMATION KIT

East Bay Municipal Utility District Board of Directors Election – 2024 (Wards 1, 2, 5 and 6)

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NOTICE OF ELECTION FOR THE OFFICE OF DIRECTOR OF THE EAST BAY MUNICIPAL UTILITY DISTRICT

Notice is hereby given that an election will be held on Tuesday, November 5, 2024, in Wards 1, 2, 5, and 6 of the East Bay Municipal Utility District for the office of Director. The election in Wards 1, 5, and 6 shall be for the full term (1/1/25 – 12/31/28). The election in Ward 2 shall be for a partial term (12/10/24 – 12/31/26). The election shall be consolidated with the General Election to be held in Alameda and Contra Costa counties on November 5, 2024.

Candidates for office of Director must be a resident and voter in the ward from which the candidate is nominated. Additionally, in accordance with California Election Code section 20, a person shall not be considered a candidate for, and is not eligible to be elected to, any state or local elective office if the person has been convicted of a felony involving accepting or giving, or offering to give, any bribe, the embezzlement of public money, extortion or theft of public money, perjury, or conspiracy to commit any of those crimes. Nomination papers may be obtained and circulated within the ward from which a candidate is seeking election beginning July 15, 2024. All nomination papers must be filed with the appropriate County Clerk/Registrar by 5:00 p.m. on August 9, 2024. If nomination papers for an incumbent Director are not filed by 5:00 p.m. on August 9, 2024, the filing deadline for non-incumbent candidates will be extended to 5:00 p.m. on August 14, 2024.

Candidates are required to pay a deposit at the time nomination papers are filed with the County Clerk/Registrar to be applied to the cost of publishing a candidate's statement as follows:

- Alameda County - a deposit of \$1,000 made payable to EBMUD
- Contra Costa County - a deposit of \$1,000 made payable to EBMUD

If no one or only one person has filed a declaration of candidacy for a particular ward by 5:00 p.m. on August 14, 2024, the EBMUD Board of Directors may choose to appoint the sole candidate or a qualified person (if no candidate is running) to office in that ward, pursuant to Section 11852.5 of the Public Utilities Code, in lieu of holding an election in that ward.

Ward 1 is in Contra Costa County and includes Hercules and San Pablo; portions of Richmond and Pinole; and communities of Crockett, North Richmond, Rodeo, and Selby.

Ward 2 is in Contra Costa County and includes Lafayette, Town of Danville; portions of Pleasant Hill, San Ramon, and Walnut Creek; and communities of Alamo, Blackhawk, and Diablo.

Ward 5 is in Alameda County and includes Alameda; a portion of Oakland (*West Oakland and Oakland Airport Area*); a portion of San Leandro; and a portion of the community of San Lorenzo.

Ward 6 is in Alameda County and includes portions of the City of Oakland (*East Oakland and south of Park Boulevard/5th Avenue*) to the San Leandro City boundary.

Nomination papers and other forms are available from:

Alameda County Registrar of Voters
1225 Fallon Street, Room G-1, Oakland, CA 94612
(510) 272-6973

Contra Costa County Clerk-Recorder-Elections Department
555 Escobar Street, Martinez, CA 94553
(925) 335-7800

Rischa S. Cole
Secretary of the District



INFORMATION ABOUT THE BOARD OF DIRECTORS

The East Bay Municipal Utility District (“EBMUD”) is a publicly owned utility district which supplies water to a 332-square mile area in Alameda and Contra Costa counties extending from Crockett on the north, southward to San Lorenzo, eastward from San Francisco Bay to Walnut Creek, and south through the San Ramon Valley. The wastewater system serves an 88-square mile area along the Bay’s east shore, extending from Richmond on the north, southward to San Leandro.

In connection with its water supply function, EBMUD owns and manages over 60,000 acres of watershed lands and five reservoirs in Alameda and Contra Costa counties. While the primary purpose of the management program is to protect the water supply, the lands and reservoirs are utilized extensively for public recreation, environmental education in cooperation with county school districts, and for a variety of other uses, with emphasis on preserving open space.

Detailed information and printed materials about the history, geography, population, facilities, and operations of EBMUD may be obtained by visiting www.ebmud.com or by contacting the Office of the Secretary (SecOffice@ebmud.com); telephone (510) 287-0404.

EBMUD’s seven-member Board of Directors determines overall policies, which are then implemented under the direction of the General Manager. The Board customarily meets regularly at 11:00 a.m. for closed session and 1:15 p.m. for its business meeting on the second and fourth Tuesday of each month at EBMUD headquarters located at 375 11th Street, Oakland. In addition, committee meetings, special meetings, workshop sessions and public hearings may be scheduled.

Each Board member is asked to serve on one or more Board committees. The committees are set up to review and make recommendations about matters of major interest, prior to presentation before the full Board in regular meeting. Board members may also be asked to serve on joint powers authority boards or be a representative in professional associations.

Board members are elected from wards of near equal population. Terms are four years and staggered so that no more than four seats are open for election at any one time. Elections are held every two years and are consolidated with the general state elections held in November. The only qualifications for candidacy are that the candidate must live in the ward from which he or she is running and must be a registered voter. Additionally, in accordance with California Election Code section 20, a person shall not be considered a candidate for, and is not eligible to be elected to, any state or local elective office if the person has been convicted of a felony involving accepting or giving, or offering to give, any bribe, the embezzlement of public money, extortion or theft of public money, perjury, or conspiracy to commit any of those crimes. Current compensation to EBMUD Board members is \$1,606.50 per month, as well as reimbursement for any approved expenses which may be incurred as a Board member.

Candidates obtain nomination papers and other required documents from the appropriate County office:

Wards 1 & 2

Kristin B. Connelly, County Clerk-Recorder and Registrar of Voters
Contra Costa County – Clerk-Recorder-Elections Department
555 Escobar Street
Martinez, CA 94553-1140
(925) 335-7800
Email: candidate.services@vote.cccounty.us
Website: <https://www.contracostavote.gov/>

Wards 5 & 6

Tim Dupuis, Registrar of Voters
Alameda County – Registrar of Voters Office
1225 Fallon Street, Room G-1
Oakland, CA 94612-4283
(510) 272-6973
Email: candidate.services@acgov.org
Website: <https://www.acvote.org/index>

Candidates may obtain and begin circulating nomination papers on July 15, 2024. All nomination papers must be filed with the appropriate County Clerk/Registrar by 5:00 p.m. on August 9, 2024. If nomination papers for an incumbent Director are not filed by 5:00 p.m. on August 9, 2024, the filing deadline for non-incumbent candidates will be extended to 5:00 p.m. on August 14, 2024.

If no one or only one person has filed a declaration of candidacy for a particular ward by 5:00 p.m. on August 14, 2024, the EBMUD Board of Directors may choose to appoint the sole candidate or a qualified person (if no candidate is running) to office in that ward, pursuant to Section 11852.5 of the Public Utilities Code, in lieu of holding an election in that ward.

A deposit toward the cost of publishing a candidate’s statement is required at the time of filing nomination papers as follows:

- Alameda County - a deposit of \$1,000 made payable to EBMUD
- Contra Costa County - a deposit of \$1,000 made payable to EBMUD

Circulators of nominating papers must reside in the ward from which the candidate is to be elected. Nomination papers must be signed either by 1 percent or by 10 registered voters from within the ward, whichever is the lesser number, but in no event by more than 20 registered voters from within the ward.

The term of office for Directors elected November 5, 2024 from Wards 1, 5, and 6 commences January 1, 2025 and ends December 31, 2028. The term of office for the Director elected November 5, 2024 from Ward 2 is a partial term and commences December 10, 2024 and ends December 31, 2026.

WARD DESCRIPTIONS - EBMUD BOARD













- WARD 1** CONTRA COSTA COUNTY: Hercules and San Pablo; portions of Richmond and Pinole; and communities of Crockett, North Richmond, Rodeo, and Selby.
Director: **Lesa R. McIntosh** [2024 President] **Term expires 12/31/2024**
- WARD 2** CONTRA COSTA COUNTY: Lafayette, Town of Danville; portions of San Ramon, Pleasant Hill, and Walnut Creek; and communities of Alamo, Blackhawk and Diablo.
Director: **Luz Gómez** **Term expires 11/5/2024**
- WARD 3** ALAMEDA COUNTY: Substantial portions of the City of Oakland and the entire City of Piedmont.
CONTRA COSTA COUNTY: City of Orinda, Town of Moraga; community of El Sobrante; and portions of Pinole and Richmond.
Director: **Marguerite Young** **Term expires 12/31/2026**
- WARD 4** ALAMEDA COUNTY: Cities of Albany, Berkeley, and Emeryville; and a portion the City of Oakland.
CONTRA COSTA COUNTY: City of El Cerrito and community of Kensington.
Director: **Andy Katz** **Term expires 12/31/2026**
- WARD 5** ALAMEDA COUNTY: Cities of Alameda and Oakland (*West Oakland and Oakland Airport Area*); a portion of San Leandro; and a portion of the community of San Lorenzo.
Director: **Doug A. Linney** **Term expires 12/31/2024**
- WARD 6** ALAMEDA COUNTY: Portions of the City of Oakland (*East Oakland and south of Park Boulevard/5th Avenue*) to the San Leandro City boundary.
Director: **William B. Patterson** [2024 Vice President] **Term expires 12/31/2024**
- WARD 7** ALAMEDA COUNTY: Castro Valley; portions of San Leandro, San Lorenzo, and Hayward; communities of Cherryland and Fairview.
CONTRA COSTA COUNTY: Portion of San Ramon.
Director: **April Chan** **Term expires 12/31/2026**

Revised: April 2024

EAST BAY MUNICIPAL UTILITY DISTRICT

WARD BOUNDARIES

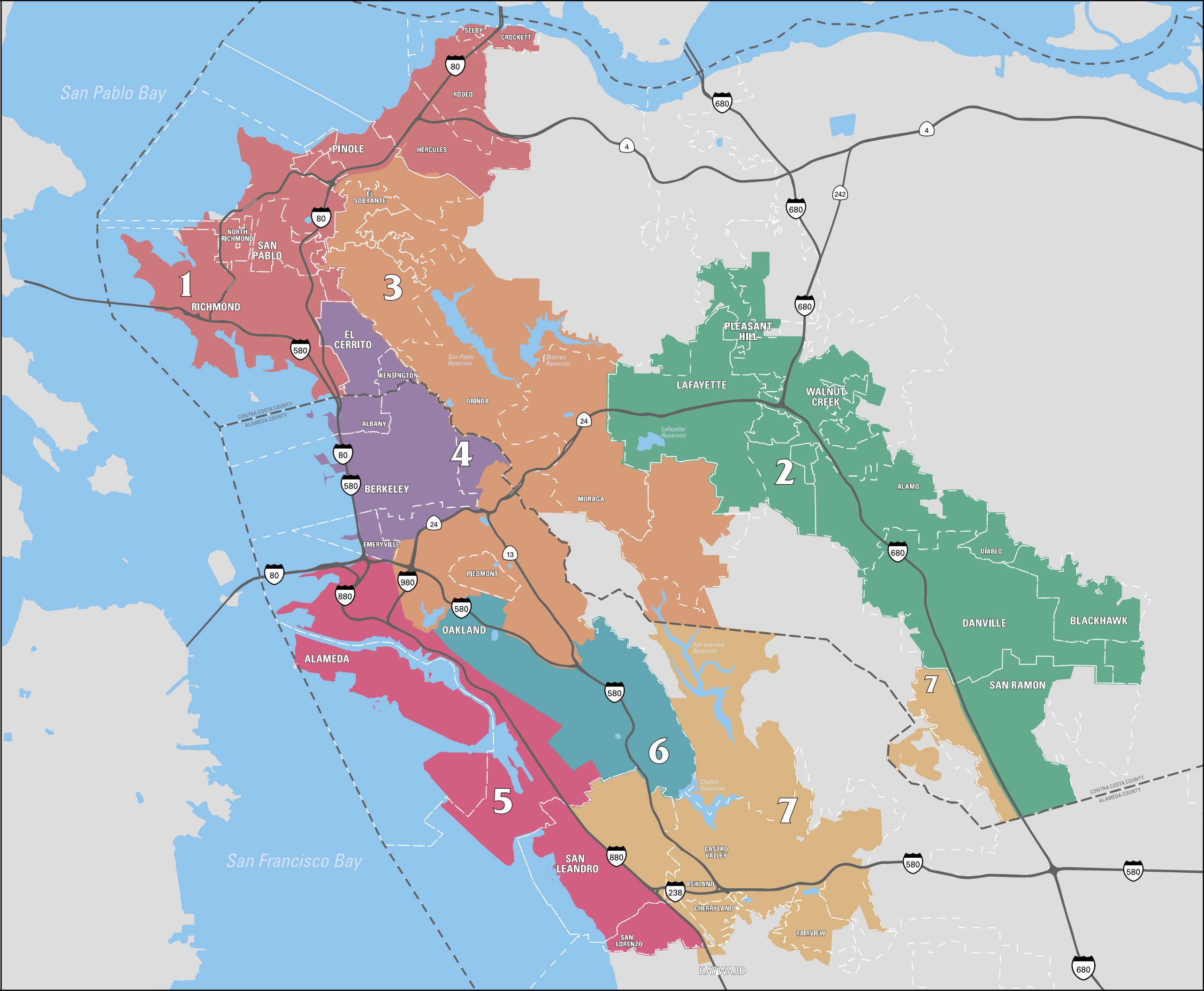
LEGEND

-  Water Bodies
-  Counties
-  Census Cities and Places
-  Freeways
-  Major Roads
-  Ward 1
-  Ward 2
-  Ward 3
-  Ward 4
-  Ward 5
-  Ward 6
-  Ward 7

IMPORTANT NOTICE

This map is the official Ward Map and shows the areas included in each of the seven wards within the East Bay Municipal Utility District. For further accurate determination of the ward boundaries, reference should be made to Resolution 35279-22 dated April 12, 2022 establishing ward boundaries, along with the official map on file in the Office of the Secretary of the District, 375 11th Street, Oakland, CA.

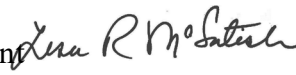
Ward_Map_2022_Website_FINAL.pdf



EAST BAY MUNICIPAL UTILITY DISTRICT

DATE: April 23, 2024

MEMO TO: Board of Directors

FROM: Lesa R. McIntosh, President 

SUBJECT: Approved updates to 2024 Assignments for Committees, Joint Powers Authorities, and Associations – April 2024

Listed below are updates to assignments for Board committees, joint powers authorities, and associations for calendar year 2024. The Board approved the updates at its April 23, 2024 meeting.

Planning

Director Young, Chair
Director Chan
Director Linney

2nd Tuesday of the month at 9:15 a.m.
Administration Center Building

Legislative/Human Resources

Director Patterson, Chair
Director Gómez
President McIntosh

2nd Tuesday of the month at 10:15 a.m.
Administration Center Building

Finance/Administration

Director Katz, Chair
Director Chan
Director Patterson

4th Tuesday of the month at 10:00 a.m.
Administration Center Building

Sustainability

Director Linney, Chair
Director Katz
Director Young

4th Tuesday, quarterly, time to be determined
Administration Center Building

**DSRSD/EBMUD Recycled
Water Authority (DERWA)**

Director Chan
Director Gómez
Director Young, Alternate

1st Monday in Feb.;
3rd Monday in May;
4th Monday in March, July, Sept., and Nov.
meets at 6:00 p.m.
Contact: Florence T. Wedington
Tel: 510-287-1625

Freeport Regional Water Authority

Director Patterson
Director Gómez
Director Katz, Alternate

*2nd Thursday, quarterly at 10:00 a.m.,
location to be announced*

Los Vaqueros Reservoir Joint Powers Authority

Director of Water and Natural Resources Tognolini
Director Linney, Alternate

2nd Wednesday of the month at 9:30 a.m., location to be determined

Contact: Grace W. Su
Tel: 510-287-7013

Retirement Board

Director Chan
Director Young

3rd Thursday odd numbered months at 9:00 a.m.

Administration Center Building
Contact: Valerie Weekly
Tel: 510-287-0760

Upper Mokelumne River Watershed Authority

Director Patterson
Director Gómez, Alternate
Director Katz, Alternate

4th Friday of January, April, and October; and third Friday of August, at 10:00 a.m.

McLean Hall, Pardee Center

Business Forum (Ad Hoc)

Director Linney
President McIntosh
Director Patterson

Meeting dates, times, and location to be determined

EBMUD/EBRPD Liaison

Director Katz
Director Chan
Director Young, Alternate

Meeting dates, times, and location to be determined

Oakland Chamber of Commerce

Director Linney
Director Patterson, Alternate

Special Districts Association of Alameda County/Special Districts Selection Committee

Director Chan, Member
Director Katz, Alternate
Director Patterson, Alternate

Special Districts Association of Contra Costa County

Director Young, Member
Director Gómez, Alternate

EBMUD COMMITTEES, JOINT POWERS AUTHORITIES (JPA), LIAISON, AND ASSOCIATIONS

On an annual basis, the Board President reviews and appoints Directors to serve on EBMUD internal committees and as representatives on JPAs and other associations.

EBMUD Internal Committees/Retirement Board

Finance/Administration Committee

Reviews District investments, debt service, and related policies, fees and charges, internal audits, contracts and grants, and policies for acquisition of equipment or services. *The Committee is comprised of three (3) Board members.*

Planning Committee

Discusses and decides planning of facilities, capital projects, operational standards, and acquisition, development and disposition of real property. *The Committee is comprised of three (3) Board members.*

Legislative/Human Resources Committee

Discusses legislative goals and programs, employee relations-related issues, personnel policies, affirmative action issues, District training and development, and EBMUD's [Contract Equity Program](#). *The Committee is comprised of three (3) Board members.*

Sustainability Committee

Discusses and decides on matters related to energy, sustainability, natural resources and the environment. These meetings are open to the public. *The Committee is comprised of three (3) Board members.*

Business Forum (Ad Hoc)

This Committee was formed to strengthen communication between EBMUD and the business community and strengthen awareness and understanding of issues and concerns that affect local businesses and industries and EBMUD's water/wastewater utility services and programs. Formed in the late 1990s and active through the mid-2000s, the Board has not held a formal Board Business Forum since 2007. *The Committee is comprised of three (3) Board members and one (1) alternate.*

Retirement Board

Consists of three members (*two (2) EBMUD Board members and the General Manager*) appointed by the Board of Directors of the District, two members elected by and from the membership of the Retirement System (current employees), and one non-voting Retired Member elected by retired members. The Retirement Board is publicly charged with responsibility to administer the Retirement System and the Retirement Fund for the benefit of its members, and to secure the payment retirement allowances and other post-retirement benefits authorized by the Retirement Ordinance.

Joint Powers Authorities/Liaison Committee/Associations/Others

Dublin San Ramon Service District {DSRSD}-EBMUD Recycled Water Authority (DERWA) JPA

[DERWA](#) (Dublin San Ramon Service District {DSRSD}-EBMUD Recycled Water Authority) is a JPA formed in 1995 between DSRSD and EBMUD to encourage recycled water development in the San Ramon Valley. *Two (2) EBMUD Board members serve as primary representatives and one (1) member serves as an alternate.*

EBMUD/East Bay Regional Park District Liaison Committee

The Liaison Committee began formally meeting in July 1981 to discuss topics of mutual benefit to both agencies. *Two (2) EBMUD Board members serve as primary representatives and one (1) member serves as an alternate.*

Freeport Regional Water Authority (FRWA) JPA

[FRWA](#) (Freeport Regional Water Authority) is a JPA formed in February 2002 between the Sacramento County Water Agency and EBMUD, to guide planning and development of needed regional water supplies. *Two (2) EBMUD Board members serve as primary representatives and one (1) member serves as an alternate.*

Los Vaqueros Reservoir (LVR) JPA

[The LVR JPA](#) was formed in late 2021 and is comprised of eight (8) agencies (Alameda County Water District, Contra Costa Water District (including the City of Brentwood), EBMUD, Grassland Water District, Santa Clara Valley Water District (Valley Water), San Francisco Public Utilities Commission (including Bay Area Water Supply & Conservation Agency), San Luis & Delta-Mendota Water Authority (including Byron-Bethany Irrigation District, City of Tracy, Del Puerto Water District, Panoche Water District, and Westlands Water District), Zone 7 Water Agency (Alameda County Flood Control & Water Conservation District, Zone 7) and the Department of Water Resources (ex officio, nonvoting pursuant to Water Code Section 79759(b)) seeking to diversify their water supply portfolios against drought, emergencies, climate change and regulatory challenges. The JPA provides governance of the LVR Expansion Project by the Members; ensures sufficient stable funding for the LVR Expansion Project and related administrative and support activities; and ensures costs are reasonable and cost allocations are equitable and transparent. *One (1) EBMUD Board member or a senior management-level staff person serves as the primary representative and one (1) member serves as an alternate.*

Upper Mokelumne River Watershed Authority (UMRWA) JPA

[UMRWA](#) is a JPA formed in August 2000 and is comprised of six (6) water agencies (Amador Water Agency, Calaveras County Water District, Calaveras Public Utility District, East Bay Municipal Utility District, Jackson Valley Irrigation District and Alpine County Water Agency) and the counties of Amador, Calaveras and Alpine. UMRWA's goals to enhance water supply, protect water quality and the environment, reduce forest fuels and improve forest health are fulfilled in a variety of ways. An eight-member Board of Directors governs UMRWA. *One (1) EBMUD Board member serves as the primary representative and three (3) members serve as alternates.*

Oakland Chamber of Commerce

EBMUD is a member of the chamber and Board members that represent areas of Oakland are assigned to represent the District at chamber events/activities. *One (1) EBMUD Board member serves as the primary representative and two (2) serve as alternates.*

Special Districts Association of Alameda County/Special Districts Selection Committee

EBMUD is a member of the association and Board members that represent cities in Alameda County are assigned to represent the District at association events/activities. *One (1) EBMUD Board member serves as the primary representative and two (2) serve as alternates.*

Special Districts Association of Contra Costa County

EBMUD is a member of the association and Board members that represent cities in Contra Costa County are assigned to represent the District at association events/activities. *One (1) EBMUD Board member serves as the primary representative and two (2) serve as alternates.*

Ad Hoc Committees

The Board may request members to serve on Ad Hoc Committees for a specific purpose. The Brown Act defines an Ad Hoc Committee as follows:

*A temporary advisory committee composed solely of less than a quorum of the legislative body that serves a limited or single purpose, that is not perpetual, and that will be dissolved once its specific task is completed is not subject to the Brown Act. **Temporary committees are sometimes called ad hoc committees, a term not used in the Brown Act.** Examples include an advisory committee composed of less than a quorum created to interview candidates for a vacant position or to meet with representatives of other entities to exchange information on a matter of concern to the agency.*

Special Board Meetings and Workshops

Occasionally, special board meetings and workshops are held at the call of the board president to consider specific items or to receive information. These meetings are open to the public. *All Board members participate in most special meetings and workshops.*

Deferred Compensation Advisory Committees

The Deferred Compensation Advisory Committees are created by the Board of Directors of the District and Committee members are appointed by the General Manager. The Committee members are comprised of the Director of Human Resources (Committee Chairperson), the Director of Finance, the Treasury Manager, and such designated representatives from Union Locals 2019, 21, 444 and 39. *There are no EBMUD Board Directors assigned to these committees.*

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Policy 6.04

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SUPERSEDES 12 JUL 22

ETHICS OF THE EBMUD BOARD OF DIRECTORS

IT IS THE POLICY OF THE EAST BAY MUNICIPAL UTILITY DISTRICT BOARD OF DIRECTORS TO:

Promote ethical behavior in the conduct of District business.

Purpose and Scope The proper operation of EBMUD requires that Board members remain objective and responsive to the needs of the public, make decisions within the proper channels of governmental structure, and not use public office for personal gain. To further these objectives, certain ethical principles govern the conduct of each member of the EBMUD Board of Directors.

This policy promotes awareness of ethics, integrity and fidelity as critical elements in Board members' conduct and in achievement of the EBMUD mission. It references relevant policies, practices, and procedures that provide the legal framework and operational guidelines for addressing ethical issues.

Responsibilities of Public Office EBMUD Board members are dedicated to the concepts of effective and democratic government by responsible elected officials. Board members:

- Uphold the Constitution of the United States and the Constitution of the State of California, and carry out the laws of the nation, the state and local governmental agencies;
- Comply with applicable laws regulating their conduct, including open government, conflict of interest, and financial disclosure laws;
- Fulfill all applicable training requirements, including attending two (2) hours of ethics training (AB 1234) and two (2) hours of sexual harassment prevention training and education (AB 1661) every two (2) years; and
- Work in full cooperation with other public officials, unless they are legally prohibited from doing so.

[California Government Code Section 1360; California Government Code 53235; California Government Code Section 87200; California Government Code Section 53237; Article 20, Section 3 of the California Constitution.]

Fair and Open Processes Involving the Public

EBMUD Board members promote fair and open public processes. Board members, and persons elected but who have not yet assumed office as members of the Board, fully comply with California's open meeting law for public agencies (the Brown Act).

Disclosure of Communications

- Board members shall publicly disclose any oral or written communications they have had with persons, including, but not limited to, employees, legislators, legislative staff, public officials, developers, vendors and consultants, that relate to matters at a Board meeting or Committee meeting in which the Board is performing an adjudicatory or quasi-judicial function.

- The disclosure may be made orally or in written form and may be made at the start of the meeting or may be made prior to consideration of the agenda item at the meeting.
- The Board shall make a good faith effort to comply with these Disclosure provisions of this Policy. A good faith failure to comply with these provisions shall not be construed to be a violation of this Policy.

[California Government Code Section 54950 and following; California Government Code Section 54952.1; California Government Code Section 54959.]

**Fair and Equal
Treatment**

EBMUD Board members promote diversity, equity, inclusion, and equality in personnel matters and in contracting, consistent with state and federal laws.

- Board members, in performance of their official duties and responsibilities, will not discriminate against or harass any person on the basis of race, color, religion, creed, sex, gender (including breastfeeding), gender identity (including transgender status), gender expression, marital or registered domestic partnership status, age for individuals forty or older, national origin, ancestry, disability (mental and physical), medical condition (cancer and genetic characteristics), genetic information, sexual orientation, military and veterans status, family or medical leave status, pregnancy (including childbirth or related medical condition), pregnancy disability leave status, or any other status protected by federal, state and/or local laws.
- Board members will not grant any special consideration, treatment, or advantage to any person or group beyond that available to every other person or group in similar circumstances.
- Board members will cooperate in achieving the equal opportunity objectives of EBMUD.

[See, e.g., Article 1, Section 31 of the California Constitution; Age Discrimination in Employment Act of 1967; Americans with Disabilities Act Amendments Act of 2008; Fair Employment and Housing Act; Rehabilitation Act of 1973; Title VII of the Civil Rights Act of 1964; California Labor Code Section 1102. See also EBMUD's Policy 6.06, Equal Employment Opportunity (EEO); Policy 6.08, Contract Equity Program; Policy 6.07, Prevention of Workplace Harassment; and Policy 2.02, Accommodation for Individuals with Disabilities in the Workplace.]

**Proper Use and
Safeguarding of
EBMUD Property
and Resources**

EBMUD Board members exercise responsible management of District property and resources in the conduct of District business.

- Board members will safeguard EBMUD property, equipment, moneys, and assets against unauthorized use or removal, as well as from loss including criminal acts or breach of trust.
- A Board member will not ask or require an EBMUD employee to perform services for the personal benefit or profit of a Board member or employee.
- Each Board member will protect and properly use any EBMUD asset within his or her control, including information recorded on paper or in electronic form.

- Board members will maintain written records, including expense accounts, in sufficient detail to reflect accurately and completely all transactions and expenditures made on EBMUD's behalf.
- Board members will adhere to District policies.

[Article 16, Section 6 of the California Constitution; Penal Code Section 424. See also EBMUD Policy 7.04, Access to District Property for Tours; Policy 7.06, Pardee Conference and Lodging Facility Use; Policy 7.11, Use of District Bay Area Facilities; Policy 4.14, Reimbursement of Director Expenses; Policy 4.20, Use of District Technology Resources]

Use of Confidential Information

Board members will safeguard confidential information.

Board members will not disclose information that legally qualifies as confidential to unauthorized persons without approval of a quorum of the Board. This includes information that (1) has been received for, or during, a closed session Board meeting, (2) is protected from disclosure under the attorney/client or other evidentiary privilege, or (3) is not disclosable under the California Public Records Act.

A Board member may make a confidential inquiry or complaint to a district attorney or grand jury concerning a perceived violation of law, including disclosing facts to a district attorney or grand jury necessary to establish the alleged illegality of a District action. Prior to disclosing confidential information, however, a Board member will first bring the matter to the attention of either the President of the Board or the full Board, in a lawful and appropriate manner, to provide an opportunity to cure an alleged violation.

[California Government Code Section 54963; California Government Code Section 1098]

Conflict of Interest

Board members avoid both actual conflicts of interest and the appearance of conflicts of interest with the District.

- A Board member will not have a financial interest in a contract with the District, or be purchaser at a sale by the District or a vendor at a purchase made by the District, unless his or her participation is legally authorized.
- A Board member will not participate in the discussion, deliberation or vote on a matter before the Board, or in any way attempt to use his or her official position to influence a decision of the Board, if he or she has a prohibited interest with respect to the matter under California law.
- A Board member will not accept any honoraria.
- A Board member will not accept gifts that exceed the limitations specified in California law. Board members will report all gifts, campaign contributions, income and financial information as required under the District's Conflict of Interest Code and the provisions of the Fair Political Practices Act and Regulations.
- A Board member will not recommend the employment of a relative to the District or to any person known by the Board member to be bidding for or negotiating a contract with the District.

[California Government Code Section 87100 and following; California Government Code Section 1090 and following; California Government Code Section 81000 and following; California Government Code Section 87105; California Government Code Section 89502; Penal Code Sections 68 and 70, and EBMUD Conflict of Interest Code.]

Soliciting Political Contributions

Board members will not solicit political funds or contributions of in-kind services at EBMUD facilities or use EBMUD equipment.

- A Board member will not solicit or direct a political contribution or in-kind services from District officers, employees, consultants or contractors, or from vendors or consultants that have a material financial interest in a contract or other matter while that matter is pending before EBMUD.
- A Board member will not use EBMUD's seal, trademark, stationary, or other indicia of EBMUD's identity or facsimile thereof in any solicitation for political contributions.

[California Government Code Section 3205 and EBMUD Campaign Finance Reform Ordinance.]

Incompatible Offices

Except as expressly permitted by law, Board members appointed or elected to another public office, the duties of which may legally require action contradictory or inconsistent with the interests of the first entity, will resign from the first entity.

(See, generally, 73 Cal. Op. Atty. Gen. 357 (1990). See also California Government Code Section 53227, under which a special district employee may not be sworn into office as an elected or appointed member of the same special district unless he or she resigns as an employee.)

Board Member-General Manager Relationship

The Board sets District policy and the General Manager is responsible for execution of policy.

- The Board provides policy direction and instructions to the General Manager on matters within the authority of the Board by majority vote of the Board during duly convened Board and Board committee meetings.
- Members of the Board deal with matters within the authority of the General Manager through the General Manager, except when it pertains to the functions of the General Counsel.

[Municipal Utility District Act (MUD Act) Sections 11883, 11937 and 11939.]

Exercise Responsible Financial Management

The Board ensures the District exercises responsible financial management.

- The Board ensures that EBMUD maintains a system of auditing and accounting that completely and at all times shows the financial condition of the District in accordance with generally accepted accounting principles and legal requirements.
- The Finance/Administration Committee will interview and recommend an independent auditor to conduct an annual audit of the District's books, records, financial affairs, and periodic single audits of federal funds received by the District.

- The independent auditor will provide reports and present the results of their audits, including recommendations made to the Board's Finance/Administration Committee. Reports from the auditor will be provided to the Board upon completion as part of the next Board mailing. .
- Staff will respond to audit recommendations and provide periodic updates to the Board on the status of the responses to the recommendations.

[MUD Act Section 11889.]

**Improper Activities
and the Reporting
of Such Activities;
Protection of
Whistleblowers**

The Board ensures that EBMUD maintains a healthy and transparent work environment.

- The General Manager has primary responsibility for ensuring compliance with the District's personnel policies and procedures, and ensuring that District employees do not engage in improper activities, for investigating allegations of improper activities, and for taking appropriate corrective and disciplinary actions. The Board ensures that the General Manager is operating the District according to law and the policies approved by the Board.
- Board members will disclose to the General Manager, to the extent not expressly prohibited by law, improper activities within their knowledge. Board members will not interfere with the General Manager's responsibilities in identifying, investigating and correcting improper activities, unless the Board determines the General Manager is not properly carrying out these responsibilities.
- A Board member will not directly or indirectly use or attempt to use the authority or influence of his or her position to intimidate, threaten, coerce, command or influence any other person for the purpose of preventing such person from acting in good faith to bring to the attention of the General Manager or the Board any information that, if true, would constitute: a work-related violation by a Board member or District employee of any law or regulation, gross waste of District funds, gross abuse of authority, a specified and substantial danger to public health or safety due to an act or omission of a District official or employee, use of a District office or position or of District resources for personal gain, or a conflict of interest of a District Board member or District employee.

[Labor Code Section 1102.5 and following; California Government Code Section 53298 and 53298.5; and EBMUD Equal Employment Opportunity (EEO) Policy 6.06.]

**Directors'
Compensation and
Expense
Reimbursement**

EBMUD Board members receive a monthly stipend for their public service and the amount of that stipend is reviewed annually. EBMUD reimburses Board members for actual reasonable and necessary expenses incurred in the performance of duties authorized or requested by the Board.

- EBMUD Board members receive monthly compensation in an amount set at a public meeting of the Board of Directors. Board members must attend a minimum of 50 percent of their assigned meetings. Meetings include regular business meetings, standing committee meetings, special meetings, joint powers authority meetings, retirement board meetings, and closed session meetings. Salary shall not be paid to a Board member for any month in which he or she has not attended the minimum number of meetings unless the Board President excuses the absence(s) for good cause. Good cause includes, but is not limited to, a Board member's illness, family emergency, or schedule conflict directly related to the business and interests of the District.

- Any Board member arriving 15 or more minutes late for a Board or Committee meeting will be considered absent from that meeting. Such absences will be taken into account when determining the minimum number of meetings attended for compensation during that period. Committee chairs or presiding officers may excuse late arrivals, at their discretion, due to unforeseen circumstances.
- Each Board member is encouraged to participate in outside activities and organizations that further the interests of the District. Board members do not receive compensation for attendance at non-District activities. Expenses incurred by Board members in connection with such activities are reimbursable, where authorized in advance or subsequently ratified by the Board President. No personal gain or loss to a Board member is intended. The following rules apply:
 - a) All expenses must be incurred in compliance with Policy 4.14, *Reimbursement of Director Expenses*. Any expense that is not specified in Policy 4.14 must be approved in a public meeting by the Board, before it is incurred.
 - b) All expenses must be reasonable and necessary and Board members will exercise prudence in all expenditures, including transportation, food, lodging, telephone, and technology-related charges.
 - c) Each Board member must use government and group rates offered by a transportation or lodging provider when available.
 - d) EBMUD does not provide credit cards to Board members. Upon incurring expenses, Board members will submit a reimbursement request, accompanied by evidence of payment of such expenses that will meet the District's requirements.
 - e) At the next Board meeting, each official shall briefly report on meetings attended at District expense. If multiple officials attended, a joint report may be made.

[MUD Act Sections 11908 and 11908.1; Resolution No. 35000-16, August 9, 2016; Policy 4.14, Reimbursement of Director Expenses; California Government Code Section 53232.2.]

**Candidate's
Statement**

A Board member will not include false or misleading information in a candidate's statement for a general District election filed pursuant to Section 13307 of the Elections Code.

[Elections Code Sections 13307 and 13313; EBMUD Campaign Finance Reform Ordinance.]

**Violation of Ethics
Policy**

A perceived violation of EBMUD's ethics policy by a Board member should be referred to the Board President for investigation and consideration of any appropriate action warranted. In the case of a perceived violation by the Board President, the matter should be referred to the Board Vice President. A violation of this policy may be addressed by remedies available by law, including but not limited to:

- Adopting a resolution expressing disapproval of the conduct of the Board member who has violated this policy,
- Injunctive relief, or
- Referral of the violation to the California Fair Political Practices Commission, District Attorney and/or the Grand Jury.

Authority

Resolution No. 33414-04, March 23, 2004.
As amended by Motion No. 041-05, March 8, 2005
As amended by Resolution No. 33577-07, January 9, 2007
As amended by Resolution No. 33883-12, June 26, 2012
As amended by Resolution No. 35008-16, October 25, 2016
As amended by Resolution No. 35132-19, February 26, 2019
As amended by Resolution No. 35221-21, April 27, 2021
As amended by Resolution No. 35302-22, July 12, 2022
As amended by Resolution No. 35364-23, September 26, 2023

References

See footnotes in above sections.
References are available for public review in the Office of the District Secretary.
Resolution No. 35000-16, August 9, 2016

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EAST BAY MUNICIPAL UTILITY DISTRICT CAMPAIGN FINANCE REFORM ORDINANCE

BE IT ENACTED by the Board of Directors of East Bay Municipal Utility District that this Ordinance is adopted as the policy of East Bay Municipal Utility District setting forth that:

Campaigns for election to the Board of Directors of the East Bay Municipal Utility District be conducted fairly and that each candidate for election to the District Board be aware of the District's commitment to fair campaigns.

Candidates for election to the Board of Directors of the East Bay Municipal Utility District be permitted to accumulate the resources necessary to effectively advocate and to campaign for election to the Board.

Campaigns for election to the Board of Directors of the East Bay Municipal Utility District be free of corruption or the appearance of corruption.

Campaigns for election to the Board of Directors of East Bay Municipal Utility District be free from improper influence stemming from the dependence of candidates on large campaign contributions.

Campaign contributions be reasonably limited so as to not unduly infringe upon the First Amendment rights of political expression and association and not have a significant adverse effect on the funding of campaigns for District office.

The contribution limits set forth herein shall apply for each election to the Board of Directors of the East Bay Municipal Utility District.

I. FINDINGS AND DECLARATIONS

The Board of Directors of the East Bay Municipal Utility District find and declare each of the following:

- (a) Monetary contributions to political campaigns are a legitimate form of participation in the American political process. However, disproportionately large contributions from certain persons or organizations may lead to a perception that they exercise a disproportionate or controlling influence upon candidates.
- (b) The increasing costs of political campaigns compel many candidates to raise larger percentages of money from interest groups with a specific financial stake in matters which may come before the Board of Directors. This has caused a public perception that votes may be improperly influenced by monetary contributions.
- (c) The tendency for campaign contributions to be dominated by a small number of very large contributors undermines the integrity of the

governmental process, the competitiveness of campaigns, and the public's confidence in local officials and local agencies.

II. PURPOSE OF THIS ORDINANCE

The Board of Directors enacts this Ordinance to accomplish the following purposes:

- (a) To improve methods of financing campaigns in order to ensure the public's right-to-know, combat corruption and undue influence, and promote citizen participation in the political process.
- (b) To prevent parties with a specific financial interest in the District's decisions from exerting undue influence over those decisions by means of large campaign contributions.
- (c) To improve the disclosure of contribution sources in reasonable and effective ways.
- (d) To restore public trust in governmental and electoral institutions.

III. DEFINITIONS

1. Unless otherwise specifically provided in this Ordinance or required by the context, the words and phrases in this Ordinance shall have the same meanings as in the Political Reform Act of 1974 as amended (Government Code section 81000 *et seq.*, hereafter "Political Reform Act") and regulations adopted thereunder by the Fair Political Practices Commission (hereafter "FPPC").
2. "Candidate" means a candidate for election to the Board of Directors of the East Bay Municipal Utility District, or an incumbent who holds that office.
3. "Contribution" has the same meaning as in the Political Reform Act, Government Code section 82015, and includes a payment, a forgiveness of a loan, a payment of a loan by a third party, or an enforceable promise to make a payment except to the extent that full and adequate consideration is received or if it is clear from the surrounding circumstances that the payment is not made for political purposes. A non-monetary contribution shall be valued at the true or estimated fair market value of the goods, services, or facilities contributed to the campaign. A fair market value is the price that a person would be required to pay to acquire the same goods or services or facilities in the open market place.

The term "contribution" does not include a payment made by an occupant of a home or office for costs related to any meeting or fundraising event held in the occupant's home or office if the total costs for the meeting or fundraising event are five hundred dollars (\$500) or less, exclusive of the fair rental value of the premises; nor does it include volunteer personal services or payments

made by any individual for their own travel expenses if such payments are made voluntarily without any understanding or agreement that they shall be, directly or indirectly, repaid for such expenses.

A contribution to the committee designated by the candidate for their election to the District Board of Directors is deemed a contribution to the candidate.

4. “District” means the East Bay Municipal Utility District.
5. “Expenditure” has the same meaning as in the Political Reform Act, Government Code section 82025 and includes a payment, a forgiveness of a loan, a payment of a loan by a third party, or an enforceable promise to make a payment, unless it is clear from surrounding circumstances that it is not made for political purposes. “Expenditure” does not include a candidate’s use of their own money to pay for either a filing fee for a declaration of candidacy or a candidate statement prepared pursuant to Section 13307 of the Elections Code. An expenditure is made on the date the payment is made or on the date consideration, if any, is received, whichever is earlier.
6. “Officeholder expenses” means those expenditures that arise out of the performance of the officeholder’s official duties, directly assist the officeholder in performing those official duties, or are directly related to a governmental purpose. Officeholder expenses include, but are not limited to:
 - (a) Donations to charitable organizations;
 - (b) Cost of tickets to political or community events;
 - (c) Postage, office supplies, stationery and similar expenses related to the conduct or performance of the officeholder’s governmental activities and duties;
 - (d) Reasonable expenses for travel to conferences, seminars, educational events or similar activities related to the officeholder’s position; or
 - (e) Costs of books or publications reasonably related to the officeholder’s position.

The expenses listed in (a) through (e) shall be considered officeholder expenses as long as they are not used in connection with the candidate’s election to a future term of office.

7. “Person” means an individual, proprietorship, firm, partnership, joint venture, syndicate, business trust, company, limited liability company, corporation, association, committee, and any other organization or group of persons acting in concert.

8. “Qualified Campaign Expenditure” means any expenditure made or incurred by a candidate or their agent for the purpose or with the primary effect of influencing or attempting to influence the actions of the voters for or against the election of the candidate. Such expenditures shall include, but are not limited to:
- (a) Payments for fundraising and campaign strategy expenses for election to a future term of office;
 - (b) Payments for mass mailings, political advertising, opinion polls or surveys, and other communications in connection with election to a future term of office. For purposes of this paragraph, a mass mailing, political advertisement, opinion poll or survey, or other communication shall be considered “in connection with election to a future term of office” if it makes reference to the candidate’s future election or status as a candidate for a future term of office, or if it is made by an incumbent officeholder within three (3) months prior to an election for which he or she will be a candidate and it features the candidate;
 - (c) Payments for services and actual expenses of political consultants, the campaign treasurer and other campaign staff, pollsters and other persons providing services directly in connection with a future election;
 - (d) Payments for office space, postage, office supplies, stationery, newsletters, and equipment which is used primarily for the administration of the candidate’s campaign to a future term of office;
 - (e) Payments for voter registration and get-out-the-vote drives;
 - (f) That portion of the total cost of a slate mailing or mailing of other campaign literature produced or authorized by more than one candidate which is the cost actually paid or incurred by the candidate; and
 - (g) A non-monetary contribution provided at the request of or with the approval of the candidate or his or her agent which is made in connection with the candidate’s future election.

“Qualified campaign expenditure” does not include officeholder expenses.

9. “Small Contributor Committee” has the same meaning as in the Political Reform Act, Government Code section 85203 and Cal. Code of Regulations, title 2, section 18503, and includes:
- (a) A committee of persons that has been in existence for more than six months, and

- (b) Within 36 months before making a contribution has received contributions from 100 or more persons, and
- (c) Has campaign funds that do not include any contributions of more than \$200 per person per calendar year, and
- (d) Has made contributions to five or more candidates every 36 months of at least \$25 each.

For purposes of this Paragraph III.9 only, the term “Candidate” shall have the same meaning as in the Political Reform Act (Government Code section 82007).

IV. CAMPAIGN CONTRIBUTION LIMITATIONS

1. Limitations on Contributions from Persons

- (a) Except as provided in Paragraph IV.2 of this Ordinance, no person shall make to any candidate and no such candidate shall solicit or accept any contribution which would cause the total amount contributed by that person to that candidate to exceed \$2,000 for each election. The District shall adjust this amount in January of every odd-numbered year starting on January 1, 2025 based on the increase or decrease in the San Francisco-Oakland-Hayward Consumer Price Index for Urban Consumers. This adjustment shall be rounded to the nearest ten dollars (\$10) and shall be published on the District’s website no later than the 1st day of February in the year the adjustment is made.
- (b) No person shall make an anonymous contribution or contributions to a candidate, and no candidate shall accept or solicit an anonymous contribution, totaling twenty-five dollars (\$25) or more for an election.
- (c) A candidate shall maintain a written record of the name and address of each person from whom contributions of twenty-five dollars (\$25) or more are received for an election.
- (d) The provisions of this paragraph shall not apply to a candidate’s contribution of their own personal funds to their designated candidate committee. “Personal funds” includes a loan obtained from a commercial lending institution.
- (e) A candidate may not personally loan to their campaign an amount, the outstanding balance of which exceeds twenty-five thousand dollars (\$25,000). The District shall adjust this amount in January of every odd-numbered year starting on January 1, 2025 based on the increase or decrease in the San Francisco-Oakland-Hayward Consumer Price Index for Urban Consumers. This adjustment shall be rounded to the

nearest ten dollars (\$10) and shall be published on the District's website no later than the 1st day of February in the year the adjustment is made.

2. Limitations on Contributions from Small Contributor Committees

No small contributor committee shall make contributions to any candidate and no candidate shall solicit or accept any contribution which would cause the total amount contributed by that small contributor committee to that candidate to exceed \$4,000 for each election. The District shall adjust this amount in January of every odd-numbered year starting on January 1, 2025 based on the increase or decrease in the San Francisco-Oakland-Hayward Consumer Price Index for Urban Consumers. This adjustment shall be rounded to the nearest ten dollars (\$10) and shall be published on the District's website no later than the 1st day of February in the year the adjustment is made.

3. Return of Excess Contributions

A contribution need not be reported nor shall it be deemed accepted if it is not cashed, negotiated, or deposited and is returned to the contributor before the closing date of the campaign statement on which the contribution would otherwise be reported.

4. Prohibition on Certain Contributions from Persons with Business Before the District

- (a) Contributions from participants, parties and their agents in a proceeding before the District involving a license, permit, or other entitlement for use shall be subject to the restrictions and prohibitions of the Political Reform Act, Government Code section 84308 and applicable regulations of the FPPC.
- (b) In addition to the prohibitions and restrictions imposed by Government Code section 84308 and applicable regulations of the FPPC, no person who contracts with the District, pursuant to a contract approved by the Board of Directors, shall make any contribution to a candidate at any time between the submittal of a proposal for said contract and twelve months following the completion of the performance under such contract.
- (c) No person who submits a proposal to contract with the District, pursuant to a contract to be approved by the Board of Directors, shall make any contribution to a candidate at any time between the submittal of a proposal for said contract and a final determination by the District to reject the proposal.

- (d) No candidate, or their agent, shall knowingly solicit or accept any contribution from any person or organization prohibited by Paragraph IV.4(a), (b) or (c) of this Ordinance from making such contribution.
- (e) No person who knowingly violates Paragraph IV.4(b) or (c) of this Ordinance shall be awarded a contract a which is not obtained as a result of a competitive bidding process for one (1) year after the date of the violation.

5. Limitations on Transfers from Candidate Controlled Committees

Contributions received by any other committee controlled by a candidate shall be subject to the contribution limitations set forth in this Ordinance when such contributions are transferred to the candidate's committee for election to the District Board of Directors. The following method shall be utilized to calculate the amount that is in compliance with the contribution limitations.

- (a) The candidate shall review the contributions which have been received by the candidate controlled committee beginning with the last contribution received and working back in time until the total amount of cash and cash equivalents held by the candidate controlled committee is reached.
- (b) Should the review indicate that the aggregate amount of contributions from a contributor in the candidate controlled committee and in the candidate's committee for election to the District Board exceeds any applicable limitation, the total amount that may be transferred shall be reduced by the amount in excess of the applicable contribution limitation.

6. Post-Election Fundraising

- (a) A contribution for an election may be accepted by a candidate after the date of the election only to the extent that the contribution does not exceed net debts outstanding from the election, and the contribution does not otherwise exceed the applicable contribution limit for that election.
- (b) "Net debts outstanding from the election" means the total of a committee's outstanding debts minus its assets.
- (c) "Outstanding debts" includes all of the following:
 - (1) An amount necessary to cover the cost of raising funds as permitted under this Ordinance.
 - (2) Costs related to complying with the post-election filing requirements of this Ordinance and the Political Reform Act

and for other reasonable and necessary administrative costs related to winding down the campaign, including office space rental, staff salaries, and office supplies.

- (3) Legal fees and expenses incurred directly in connection with monitoring the count of absentee or provisional ballots for the election, or with a ballot recount.
 - (4) The total amount of unpaid debts, loans and accrued expenditures incurred with respect to the election.
- (d) “Assets” includes all of the following:
- (1) The total cash on hand available to pay those debts and obligations, including: currency; balances on deposit in banks, savings and loan institutions, and other depository institutions; traveler's checks; certificates of deposit; treasury bills; and any other committee investments valued at fair market value.
 - (2) The total amounts owed to the candidate controlled committee in the form of credits, refunds of deposits, returns, or receivables, or a commercially reasonable amount based on the collectability of those credits, refunds, returns, or receivables.
- (e) Raising Funds. A candidate may accept contributions after the date of the election only up to the amount of net debts outstanding from the election. The contributions accepted are subject to the applicable contribution limit for that election. The candidate shall reduce the total amount of net debts outstanding as additional funds are received. The candidate and their controlled committee(s) may not accept a contribution that exceeds the total amount of net debts outstanding on the date the contribution is received. A contribution that exceeds the amount of net debts outstanding shall be treated in the same manner as a contribution in excess of the contribution limits.
- (f) Paying Net Debt. A candidate may only use a contribution accepted after the election for payment of net debts outstanding from the election. The candidate shall use available funds to pay net debts outstanding as soon as practicable.
- (g) Transfer. A candidate may transfer campaign funds from another of their controlled committees for the purpose of paying the net debts outstanding of their District committee. A transfer of this type is subject to the transfer and attribution requirements in Paragraph IV.5.

7. Surplus Funds

- (a) Funds remaining in the committee established by the candidate for their election to the District Board of Directors as of the end of the first postelection reporting period after the candidate is defeated or has left office may be used only for the following purposes:
 - (1) To pay campaign debts or debts from officeholder expenses;
 - (2) To refund contributions;
 - (3) To donate to any bona fide charitable, educational, civic, religious, or similar tax-exempt, nonprofit organization, where no substantial part of the proceeds will have a material financial effect on the candidate, any member of their immediate family, or their campaign treasurer; and
 - (4) To pay professional services reasonably required by the committee to assist in the performance of its administrative functions, including payment for attorney's fees for litigation arising directly out of the candidate's duties or status as a candidate or elected officer, including, but not limited to, an action to enjoin defamation, defense of an action brought of a violation of state or local campaign, disclosure, or election laws, and an action from an election contest or recount.
- (b) Funds remaining in the committee established by the candidate for their election to the District Board as of the end of the first postelection reporting period after the candidate is defeated or has left office may not be used for their election to any other office unless they are first transferred to a committee set up for that other office.

V. VOLUNTARY EXPENDITURE CEILING

1. Ballot Designation of Candidate Accepting Voluntary Expenditure Ceiling

Candidates who adopt the voluntary expenditure ceiling as defined below shall be designated in the voter information portion of the sample ballot as having voluntarily agreed to the expenditure ceiling set forth in this paragraph.

2. Statement Accepting Voluntary Expenditure Ceiling

All candidates who accept the voluntary campaign expenditure ceiling as defined below must file a statement with the Secretary of the District indicating acceptance of the expenditure ceiling and acknowledging such decision to be irrevocable. Said statement shall be filed no later than the time for filing the FPPC Form 501 (Candidate Statement of Intention). A candidate who does not adopt the voluntary campaign expenditure ceiling by filing the required statement shall be presumed to have rejected the expenditure ceiling.

3. Statement Declining Voluntary Expenditure Ceiling

Candidates who decline to accept the voluntary campaign expenditure ceiling as defined below shall file a statement with the Secretary of the District indicating their decision not to adopt the expenditure ceiling. Said statement shall be filed no later than the time for filing the FPPC Form 501 (Candidate Statement of Intention). A candidate who has filed a statement with the Secretary of the District indicating their decision not to accept the expenditure ceiling may, no later than the deadline for filing nomination papers within section 8020 of the Elections Code, revoke such decision by filing with the Secretary of the District a statement accepting the expenditure ceiling and a separate statement, signed under penalty of perjury, verifying that the candidate's qualified campaign expenditures to date have not exceeded the expenditure ceiling.

4. Amount of Expenditure Ceiling

- (a) Candidates who agree to expenditure ceilings shall not incur qualified campaign expenditures during the election cycle exceeding \$0.80 (eighty cents) multiplied by the number of residents in the ward in which the candidate seeks election. At the beginning of each election cycle, the number of residents in each ward shall be determined by the Secretary of the District based upon EBMUD's redistricting plan or federal census data, whichever provides the most current information.
- (b) The District shall adjust the amount otherwise determined under this Paragraph V.4 in January of every odd-numbered year commencing January 1, 2025, based on the increase or decrease in the San Francisco-Oakland-Hayward Consumer Price Index for Urban Consumers. The adjusted expenditure ceiling shall be rounded to the nearest one hundred dollars (\$100) and shall be published on the District website no later than the 1st day of February in the year the adjustment is made.

5. Expenditure Ceiling Lifted

If any candidate declines to accept the campaign expenditure ceiling by the deadline provided in Paragraph V.3, then the expenditure ceiling shall no longer be binding on any candidate.

VI. DISCLOSURE

1. Statements of Organization, Candidate Intention Statements, and Campaign Statements.

Any Statement of Organization (Form 410), Candidate Intention Statement (Form 501) and Campaign Statements (including Forms 460, 465, 470, 495, 496 or 497) required to be filed under the Political Reform Act shall also be

filed at the same time with the Secretary of the District. The candidate's obligation to file such campaign statements with the Secretary of the District shall continue until such time as the candidate has filed all campaign statements required by the Political Reform Act for the period ending December 31 following the election, including the Semi-Annual Campaign Statement (Form 460) due on January 31 following the election.

2. Statement Accepting or Declining Voluntary Expenditure Ceiling

Each candidate shall file a statement with the Secretary of the District accepting or declining the voluntary expenditure ceiling for each election as set forth in Paragraphs VI.1 and VI.2. The Secretary shall provide each candidate with a form that may be used for this purpose.

3. Press Disclosure

The Secretary of the District shall, upon determining that a candidate has failed to comply with any filing deadline set forth in this Ordinance, immediately notify the candidate of the apparent violation by any method that provides for confirmation of receipt, including but not limited to certified mail, telephone call and e-mail. The candidate shall be given five (5) working days from the date of actual notification to either cure the violation or to demonstrate that the required filings have been made. Upon conclusion of the five-day period, if the candidate has not demonstrated that full compliance has occurred, the Secretary shall disclose to the public by press release the name of any candidate who has failed to file any statements required under this Ordinance in the current election.

VII. INDEPENDENT EXPENDITURES IN DISTRICT ELECTIONS

1. Campaign Advertising Disclosure

(a) In addition to the disclaimers required to appear on advertisements by the Political Reform Act, Government Code sections 84501 *et seq.* and the regulations of the FPPC, any committee that spends at least \$1,000 on advertisements to support or oppose any candidate for election to the District Board shall list the following information in its advertisements: "Ad paid for by [name of committee]. Ad Committee's Top Funders: [name and occupation of three largest contributors of \$5,000 or more to the committee within the prior 12 months]."

(b) The requirements of this paragraph shall not apply to any communication distributed by an organization solely to its own members, employees, shareholders, or families of members, employees, or shareholders.

2. Independent Expenditure Reports

In addition to the reporting requirements of the Political Reform Act, any committee primarily formed to support or oppose a District candidate that makes independent expenditures totaling \$1,000 or more within 90 days of a District election to support or oppose a candidate for election to the District Board of Directors shall file a copy of their Form 496 24-Hour Independent Expenditure Report with the Secretary of the District.

VIII. ENFORCEMENT

1. Campaign Statement Review
 - (a) The Secretary of the District shall monitor all campaign forms and statements filed by candidates for the District Board and shall notify the candidate of any of the following apparent violations of this Ordinance:
 - (1) The non-filing or late filing of any required campaign forms or statements.
 - (2) A statement that does not conform on its face with the requirements of this Ordinance.
 - (3) Any reported contributions that exceed the allowable maximums established under this Ordinance.
 - (b) The Secretary of the District shall also investigate any report or information received indicating that a candidate may have failed to file a statement required under this Ordinance, if the Secretary has sufficient information to reasonably conduct such investigation.
 - (c) The candidate shall be allowed to correct any reports within five days after receipt of notice of an apparent violation by the Secretary of the District.
 - (d) The Secretary of the District shall refer to the FPPC any complaint alleging a violation of the Political Reform Act (Government Code Section 81000 *et seq.*) by any candidate or committee and shall cooperate in any investigation conducted by the FPPC as a result of such referral.
2. Violations
 - (a) In addition to any other remedies provided in this Ordinance, the East Bay Municipal Utility District and any person residing in the District may bring a civil action against any person or committee who intentionally or negligently violates the reporting requirements or the contribution and expenditure limitations set forth herein, and may also sue for injunctive relief to enjoin violations or to compel compliance

with the provisions of this Ordinance. Any such action must be brought within 4 (four) years of the date of the violation.

- (b) In any legal action brought under this Ordinance for injunctive relief or civil liability, the court may award to a plaintiff or defendant who prevails their costs of litigation, including reasonable attorney's fees.
- (c) In any legal action brought under this Ordinance for injunctive relief or civil liability, where it is determined that the candidate has accepted a contribution or contributions in excess of the applicable limit set forth herein, the full amount of said contribution(s) shall be forfeited to the District general fund. If funds are not available in the candidate's designated committee account for this purpose, the candidate shall be personally liable to pay said amount to the District general fund.

3. Enforcement by Other Agencies

Nothing in Paragraph VII shall be construed as limiting the authority of any law enforcement agency, prosecuting attorney or other person to enforce the provisions of this Ordinance, under any circumstances where such law enforcement agency, prosecuting attorney or other person has lawful authority to do so.

IX. APPLICABILITY OF OTHER LAWS

Nothing in this Ordinance shall exempt any person or committee from applicable provisions of any other laws of this State.

X. SEVERABILITY

If any provision of this Ordinance shall be held invalid, the remainder of this Ordinance to the extent it can be given effect, shall not be affected thereby, and to this extent the provisions of this Ordinance are severable.

THE EFFECTIVE DATE of this Ordinance shall be May 26, 1992; the amendments adopted on February 8, 1994 shall take effect on May 11, 1994 provided however that the contribution limits specified in Paragraphs IV.1(a) and IV.2(a) shall take effect on, January 25, 1994; the amendments adopted on March 12, 1996 shall take effect on April 11, 1996; the amendments adopted on June 9, 1998 shall take effect on July 9, 1998; the amendments adopted on August 11, 1998 shall take effect on September 10, 1998; the amendments adopted on January 8, 2002 shall take effect on February 7, 2002; the amendments adopted on January 12, 2010 shall take effect on February 12, 2010; the amendments adopted on March 26, 2024, shall take effect on April 25, 2024.

ORDINANCE NO. 375-24

AN ORDINANCE AMENDING ORDINANCE NO. 316 ENTITLED "EAST BAY MUNICIPAL UTILITY DISTRICT CAMPAIGN FINANCE REFORM ORDINANCE"

Introduced by Director Chan ; Seconded by Director Linney

WHEREAS, the Board of Directors of the East Bay Municipal Utility District enacted the Campaign Finance Reform Ordinance (CFRO) in 1992 and adopted it as the policy of the District; and

WHEREAS, the Board of Directors has amended the CFRO a number of times since its enactment in 1992, with the last adoption of amendments taking place in 2010; and

WHEREAS, since the CFRO's last amendment in 2010, there have been changes in the Political Reform Act and its implementing regulations that are recommended for incorporation into the CFRO; and

WHEREAS, the CFRO amendments necessitated by changes in law and opinions of the Fair Political Practices Commission include incorporation of the Levine Act into the CFRO, updates to the definition of a qualified campaign expenditure and updates to campaign advertisement disclaimer requirements; and

WHEREAS, other revisions to the CFRO are recommended for clarity and constancy, including alphabetization of definitions, correcting and updating the reference to the Consumer Price Index used in the CFRO, replacing "his or her" with the nonbinary term "their," and other minor revisions for the consistent use of terminology throughout the CFRO; and

WHEREAS, proposed revisions to the CFRO were presented to the Legislative/Human Resources Committee on January 9, 2024 and February 13, 2024, and the Committee recommended revisions for consideration by the Board of Directors; and

WHEREAS, the Board of Directors conducted a first reading of proposed revisions to the CFRO on February 27, 2024; and

WHEREAS, the Board of Directors conducted a second reading of proposed revisions to the CFRO on March 12, 2024 and, following discussion, voted to incorporate additional revisions to the CFRO; and

WHEREAS, the Board of Directors desires to increase the campaign contribution limits set forth in the CFRO from \$600 to \$2,000 for persons and from \$1,200 to \$4,000 for small contributor committees and to allow for biennial CPI adjustments to the contribution limit for small contributor committees; and

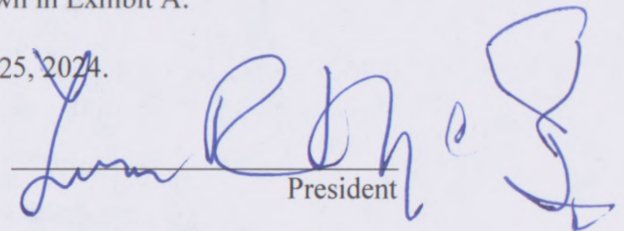
WHEREAS, the Board of Directors desires to increase the \$10,000 limit on the amount a candidate may loan to their campaign from personal funds to \$25,000, and to allow for biennial CPI adjustments of this amount; and

WHEREAS, the Board of Directors desires to expand the CFRO's prohibition on candidate contributions from persons contracting with the District to any Board-approved contract with the District and not only contracts that are not subject to the competitive bidding process; and

WHEREAS, following receipt of direction from the Board of Directors on further revisions to the CFRO at the second reading on March 12, 2024, the second reading of the amended ordinance was continued to the regular Board meeting of March 26, 2024;

NOW, THEREFORE, BE IT ENACTED by the Board of Directors of the East Bay Municipal Utility District that Ordinance No. 316 be amended as shown in Exhibit A.

THE EFFECTIVE DATE of this Ordinance shall be April 25, 2024.



President

I HEREBY CERTIFY that the revisions to Ordinance No. 316 were duly and regularly introduced at a regular meeting of the East Bay Municipal Utility District Board of Directors held on February 27, 2024, at the office of said District, 375 11th Street, Oakland, California, and thereupon, after being read, further action was scheduled for the regular meeting of said Board of Directors held at the same place on March 12, 2024, and for the regular meeting of said Board of Directors held at the same place on March 26, 2024, at which time Ordinance No. 375-24, adopting the revisions to Ordinance No. 316, was adopted by the following vote:

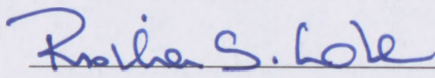
AYES: Directors Chan, Katz, Linney, Patterson, Young, and President McIntosh.

NOES: None.

ABSENT: None.

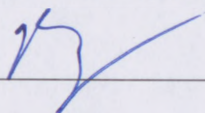
ABSTAIN: None.

ATTEST:



Secretary

APPROVED AS TO FORM AND PROCEDURE



General Counsel

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TO: Candidates for Election to EBMUD's Board of Directors

SUBJECT: Completion of Forms in Compliance with the East Bay Municipal Utility District Campaign Finance Reform Ordinance

To assist you in complying with some of the reporting requirements set forth in the East Bay Municipal Utility District (EBMUD) Campaign Finance Reform Ordinance ("the Ordinance"), the following forms have been included in the candidate kit for your convenience:

- **EBMUD Candidate Statement Accepting Voluntary Campaign Expenditure Ceiling;**
- **EBMUD Candidate Statement Declining Voluntary Campaign Expenditure Ceiling; and**
- **EBMUD Candidate Statement Revoking Decision Declining the Voluntary Campaign Expenditure Ceiling and Declaration that Expenditures Have Not Exceeded the Expenditure Ceiling.**

You should consult the provisions of the Ordinance to verify that you have provided all the information which must be reported to the EBMUD Secretary of the District in relation to the conduct of your campaign for election to the Board of Directors.

Please be advised that the forms provided do not satisfy all of your responsibilities under the Ordinance or the filing requirements under the Political Reform Act. You will also need to file some, or all, of the following Fair Political Practices Commission (FPPC) forms, as applicable:

- **Form 501 – Candidate Intention Statement**
- **Form 700 – Statement of Economic Interests**
- **Form 410 – Statement of Organization – Recipient Committee**
- **Form 460 – Recipient Committee Campaign Statement**
- **Form 470 – Officeholder and Candidate Campaign Statement**
- **Form 497 – 24-Hour/10-Day Contribution Report**
- **Form 495 – Supplemental Pre-Election Campaign Statements**

These forms may be obtained from the FPPC website at www.fppc.ca.gov or by calling (866) 275-3772.

Filing with the EBMUD Secretary

Please submit each statement in a timely manner, with attachments where appropriate. Each form should be completed in its entirety. You may file your initial forms with the County Clerk/Registrar of Voters at the time you file your nomination papers. Should you have any questions about the information required on the forms, please consult the appropriate section of the Ordinance. If you have further questions regarding compliance with the Ordinance, please contact Secretary of the District Rischa S. Cole at (510) 287-0404 or via email at rischa.cole@ebmud.com.

/RSC

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East Bay Municipal Utility District Board of Directors Election – 2024

Voluntary Expenditure Ceiling

Per EBMUD's Campaign Finance Reform Ordinance

Candidates who agree to expenditure ceilings shall not incur campaign expenditures during the election cycle exceeding 0.80 cents multiplied by the number of residents in the ward in which the candidates seek election.

Ward	Population	Adjustment	Expenses <i>(rounded)</i>
1*	211,157	0.80	\$168,900
2*	211,624	0.80	\$169,300
3	209,075	0.80	\$167,300
4	212,925	0.80	\$170,300
5*	213,373	0.80	\$170,700
6*	209,421	0.80	\$167,500
7	211,633	0.80	\$169,300

**Ward seats up for election that may appear on the November 2024 Ballot*

Campaign Contribution Limits

Limitations on Contributions from Persons:	\$2,000
Anonymous Contribution Limit:	\$25
Candidate Personal Loan*:	\$25,000
Limitations on Contributions from Small Contributor Committees:	\$4,000

*"Personal Funds" includes a loan obtained from a commercial lending institution.

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Candidate Statement Accepting Voluntary Campaign Expenditure Ceiling

-- File at the time of filing Form 501
-- File with the EBMUD Secretary

NAME OF CANDIDATE:	DATE OF DISTRICT ELECTION:
DESIGNATED COMMITTEE:	I.D. NUMBER:

I, _____, declare that I am a candidate in Ward Number _____ for election to the East Bay Municipal Utility District Board of Directors. I hereby agree to accept the voluntary campaign expenditure ceiling as defined in Paragraph V of the East Bay Municipal Utility District Campaign Finance Reform Ordinance (“Ordinance”) of which I have been provided a copy. Further, I understand that the Secretary of the District has determined that the campaign expenditure ceiling in this Ward is \$ _____ for this election.

I understand that the execution of this Statement, whereby I voluntarily agree to accept said campaign expenditure ceiling, is irrevocable and will govern all qualified campaign expenditures, as defined in the Ordinance, incurred for this election. I further understand that, as a result of my voluntary agreement to accept said campaign expenditure ceiling, I will be designated in the voter information portion of the sample ballot as having accepted the voluntary expenditure ceiling.

I am further advised and understand that civil action may be brought against any person or committee who intentionally or negligently violates the contribution and expenditure limitations set forth in the Ordinance.

Executed on the _____ day of _____.

Name of Candidate

Signature of Candidate

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Candidate Statement Declining Voluntary Campaign Expenditure Ceiling

-- File at the time of filing Form 501
-- File with the EBMUD Secretary

NAME OF CANDIDATE:	DATE OF DISTRICT ELECTION:
DESIGNATED COMMITTEE:	I.D. NUMBER:

I, _____, declare that I am a candidate in Ward Number _____ for election to the East Bay Municipal Utility District Board of Directors. I hereby decline to accept the voluntary campaign expenditure ceiling as defined in Paragraph V of the East Bay Municipal Utility District Campaign Finance Reform Ordinance (“Ordinance”), of which I have been provided a copy.

I understand that no later than the filing deadline for nomination papers under Section 8020 of the Elections Code, I may revoke my decision not to accept the campaign expenditure ceiling by filing with the EBMUD Secretary of the District the “Candidate Statement Revoking Decision Declining the Voluntary Campaign Expenditure Ceiling” and the “Candidate Statement Accepting Voluntary Campaign Expenditure Ceiling.”

I am further advised and understand that civil action may be brought against any person or committee who intentionally or negligently violates the contribution and expenditure limitations set forth in the Ordinance.

Executed on the _____ day of _____.

Name of Candidate

Signature of Candidate

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**Candidate Statement
 Revoking Decision Declining the Voluntary
 Campaign Expenditure Ceiling and
 Declaration that Expenditures Have Not Exceeded
 the Expenditure Ceiling**

*-- File no later than the deadline for filing nomination papers under Elections Code Section 8020
 -- File with the EBMUD Secretary*

NAME OF CANDIDATE:	DATE OF DISTRICT ELECTION:
DESIGNATED COMMITTEE:	I.D. NUMBER:

I, _____, declare that I am a candidate in Ward Number _____ for election to the East Bay Municipal Utility District Board of Directors. I hereby revoke my decision declining to accept the voluntary campaign expenditure ceiling in the District election indicated above. I expressly rescind the "Statement Declining Voluntary Campaign Expenditure Ceiling" executed by me and currently on file with the Secretary of East Bay Municipal Utility District.

I declare that my campaign expenditures have not exceeded the applicable campaign expenditure ceiling.

I declare under penalty of perjury that the foregoing is true and correct.

Executed on the _____ day of _____.

 Name of Candidate

 Signature of Candidate

NOTE: Attach this Revocation to a completed "Candidate Statement Accepting Voluntary Expenditure Ceiling."

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2023-2024 Statement of Economic Interests



Form 700

A Public Document

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Helpful Resources

- Video Tutorials
- Reference Pamphlet
- Excel Version
- FAQs
- Gift and Travel Fact Sheet for State and Local Officials

California Fair Political Practices Commission

1102 Q Street, Suite 3050 • Sacramento, CA 95811

Email Advice: advice@fppc.ca.gov

Toll-free advice line: 1 (866) ASK-FPPC • 1 (866) 275-3772

Telephone: (916) 322-5660 • Website: www.fppc.ca.gov

December 2023

Quick Start Guide

Detailed instructions begin on page 3.

WHEN IS THE ANNUAL STATEMENT DUE?

- March 1 – Elected State Officers, Judges and Court Commissioners, State Board and Commission members listed in Government Code Section 87200
- April 2 – Most other filers

WHERE DO I FILE?

Most people file the Form 700 with their agency. If you're not sure where to file your Form 700, contact your filing officer or the person who asked you to complete it.

ITEMS TO NOTE!

- The Form 700 is a public document.
- Only filers serving in active military duty may receive an extension on the filing deadline.
- You must also report interests held by your spouse or registered domestic partner.
- Your agency's conflict of interest code will help you to complete the Form 700. You are encouraged to get your conflict of interest code from the person who asked you to complete the Form 700.

NOTHING TO REPORT?

Mark the "No reportable interests" box on Part 4 of the Cover Page, and submit only the signed Cover Page. Please review each schedule carefully!

Schedule	Common Reportable Interests	Common Non-Reportable Interests
A-1: Investments	Stocks, including those held in an IRA or 401K. Each stock must be listed.	Insurance policies, government bonds, diversified mutual funds, funds similar to diversified mutual funds.
A-2: Business Entities/Trusts	Business entities, sole proprietorships, partnerships, LLCs, corporations and trusts. (e.g., Form 1099 filers).	Savings and checking accounts, cryptocurrency, and annuities.
B: Real Property	Rental property in filer's jurisdiction, or within two miles of the boundaries of the jurisdiction.	A residence used exclusively as a personal residence (such as a home or vacation property).
C: Income	Non-governmental salaries. Note that filers are required to report only half of their spouse's or partner's salary.	Governmental salary (from school district, for example).
D: Gifts	Gifts from businesses, vendors, or other contractors (meals, tickets, etc.).	Gifts from family members.
E: Travel Payments	Travel payments from third parties (not your employer).	Travel paid by your government agency.

Note: Like reportable interests, non-reportable interests may also create conflicts of interest and could be grounds for disqualification from certain decisions.

QUESTIONS?

- advice@fppc.ca.gov
- (866) 275-3772 Mon-Thurs, 9-11:30 a.m.

E-FILING ISSUES?

- If using your agency's system, please contact technical support at your agency.
- If using FPPC's e-filing system, write to form700@fppc.ca.gov.

What's New

Gift Limit Increase

The gift limit increased to **\$590** for calendar years **2023** and **2024**. The gift limit was \$520 for calendar years 2021 and 2022.

Who must file:

- Elected and appointed officials and candidates listed in Government Code Section 87200
- Employees, appointed officials, and consultants filing pursuant to a conflict of interest code ("code filers"). **Obtain your disclosure categories, which describe the interests you must report, from your agency;** they are not part of the Form 700
- Candidates running for local elective offices that are designated in a conflict of interest code (e.g., county sheriffs, city clerks, school board trustees, and water board members)

Exception:

- Candidates for a county central committee are not required to file the Form 700
- Employees in newly created positions of existing agencies

For more information, see Reference Pamphlet, page 3, at www.fppc.ca.gov.

Where to file:

87200 Filers

State offices	⇒	Your agency
Judicial offices	⇒	The clerk of your court
Retired Judges	⇒	Directly with FPPC
County offices	⇒	Your county filing official
City offices	⇒	Your city clerk
Multi-County offices	⇒	Your agency

Code Filers — State and Local Officials, Employees, and Consultants Designated in a Conflict of Interest

Code: File with your agency, board, or commission unless otherwise specified in your agency's code (e.g., Legislative staff files directly with FPPC). In most cases, the agency, board, or commission will retain the statements.

Members of Newly Created Boards and Commissions: File with your agency or with your agency's code reviewing body pursuant to Regulation 18754.

Employees in Newly Created Positions of Existing Agencies: File with your agency or with your agency's code reviewing body. (See Reference Pamphlet, page 3.)

Candidates file as follow:

State offices, Judicial offices and multi-county offices	⇒	County elections official with whom you file your declaration of candidacy
County offices	⇒	County elections official
City offices	⇒	City Clerk
Public Employee's Retirement System (CalPERS)	⇒	CalPERS
State Teacher's Retirement Board (CalSTRS)	⇒	CalSTRS

How to file:

The Form 700 is available at www.fppc.ca.gov. Form 700 schedules are also available in Excel format. Each Statement must have a handwritten "wet" signature or "secure electronic signature," meaning either (1) a signature submitted using an approved electronic filing system or (2) if permitted by the filing officer, a digital signature submitted via the filer's agency email address. (See Regulations 18104 and 18757.) Companies such as Adobe and DocuSign offer digital signature services. All statements are signed under the penalty of perjury and must be verified by the filer. See Regulation 18723.1(c) for filing instructions for copies of expanded statements.

When to file:

Annual Statements

⇒ March 1, 2024

- Elected State Officers
- Judges and Court Commissioners
- State Board and State Commission Members listed in Government Code Section 87200

⇒ April 2, 2024

- Most other filers

Individuals filing under conflict of interest codes in city and county jurisdictions should verify the annual filing date with their filing official or filing officer.

Statements postmarked by the filing deadline are considered filed on time.

Statements of 30 pages or less may be emailed or faxed by the deadline as long as the originally signed paper version is sent by first class mail to the filing official within 24 hours.

Assuming Office and Leaving Office Statements

Most filers file within 30 days of assuming or leaving office or within 30 days of the effective date of a newly adopted or amended conflict of interest code.

Exception:

If you assumed office between October 1, 2023, and December 31, 2023, and filed an assuming office statement, you are not required to file an annual statement until March 1, 2025, or April 1, 2025, whichever is applicable. The annual statement will cover the day after you assumed office through December 31, 2024. (See Reference Pamphlet, page 6, for additional exceptions.)

Candidate Statements

File no later than the final filing date for the declaration of candidacy or nomination documents. A candidate statement is not required if you filed an assuming office or annual statement for the same jurisdiction within 60 days before filing a declaration of candidacy or other nomination documents.

Late Statements

There is no provision for filing deadline extensions unless the filer is serving in active military duty. (See page 19 for information on penalties and fines.)

Amendments

Statements may be amended at any time. You are only required to amend the schedule that needs to be revised. It is not necessary to amend the entire filed form. The amended schedule(s) is attached to your original filed statement. Obtain amendment schedules at www.fppc.ca.gov.

Types of Statements

Assuming Office Statement:

If you are a newly appointed official or are newly employed in a position designated, or that will be designated, in a state or local agency's conflict of interest code, your assuming office date is the date you were sworn in or otherwise authorized to serve in the position. If you are a newly elected official, your assuming office date is the date you were sworn in.

- Report: Investments, interests in real property, and business positions held on the date you assumed the office or position must be reported. In addition, income (including loans, gifts, and travel payments) received during the 12 months prior to the date you assumed the office or position.

For positions subject to confirmation by the State Senate or the Commission on Judicial Appointments, your assuming office date is the date you were appointed or nominated to the position.

- Example: Maria Lopez was nominated by the Governor to serve on a state agency board that is subject to state Senate confirmation. The assuming office date is the date Maria's nomination is submitted to the Senate. Maria must report investments, interests in real property, and business positions Maria holds on that date, and income (including loans, gifts, and travel payments) received during the 12 months prior to that date.

If your office or position has been added to a newly adopted or newly amended conflict of interest code, use the effective date of the code or amendment, whichever is applicable.

- Report: Investments, interests in real property, and business positions held on the effective date of the code or amendment must be reported. In addition, income (including loans, gifts, and travel payments) received during the 12 months prior to the effective date of the code or amendment.

Annual Statement:

Generally, the period covered is January 1, 2023, through December 31, 2023. If the period covered by the statement is different than January 1, 2023, through December 31, 2023, (for example, you assumed office between October 1, 2022, and December 31, 2022 or you are combining statements), you must specify the period covered.

- Investments, interests in real property, business positions held, and income (including loans, gifts, and travel payments) received during the period covered by the statement must be reported. Do not change the preprinted dates on Schedules A-1, A-2, and B unless you are required to report the acquisition or disposition of an interest that did not occur in 2023.

- If your disclosure category changes during a reporting period, disclose under the old category until the effective date of the conflict of interest code amendment and disclose under the new disclosure category through the end of the reporting period.

Leaving Office Statement:

Generally, the period covered is January 1, 2023, through the date you stopped performing the duties of your position. If the period covered differs from January 1, 2023, through the date you stopped performing the duties of your position (for example, you assumed office between October 1, 2022, and December 31, 2022, or you are combining statements), the period covered must be specified. The reporting period can cover parts of two calendar years.

- Report: Investments, interests in real property, business positions held, and income (including loans, gifts, and travel payments) received during the period covered by the statement. Do not change the preprinted dates on Schedules A-1, A-2, and B unless you are required to report the acquisition or disposition of an interest that did not occur in 2023.

Candidate Statement:

If you are filing a statement in connection with your candidacy for state or local office, investments, interests in real property, and business positions held on the date of filing your declaration of candidacy must be reported. In addition, income (including loans, gifts, and travel payments) received during the 12 months prior to the date of filing your declaration of candidacy is reportable. Do not change the preprinted dates on Schedules A-1, A-2, and B.

Candidates running for local elective offices (e.g., county sheriffs, city clerks, school board trustees, or water district board members) must file candidate statements, as required by the conflict of interest code for the elected position. The code may be obtained from the agency of the elected position.

Amendments:

If you discover errors or omissions on any statement, file an amendment as soon as possible. You are only required to amend the schedule that needs to be revised; it is not necessary to refile the entire form. Obtain amendment schedules from the FPPC website at www.fppc.ca.gov.

Note: Once you file your statement, you may not withdraw it. All changes must be noted on amendment schedules.

Expanded Statement:

If you hold multiple positions subject to reporting requirements, you may be able to file an expanded statement for each position, rather than a separate and distinct statement for each position. The expanded statement must cover all reportable interests for all jurisdictions and list all positions on the Form 700 or on an attachment for which it is filed. The rules and processes governing the filing of an expanded statement are set forth in Regulation 18723.1.

STATEMENT OF ECONOMIC INTERESTS
COVER PAGE
A PUBLIC DOCUMENT

Please type or print in ink.

NAME OF FILER (LAST) (FIRST) (MIDDLE)

1. Office, Agency, or Court

Agency Name (Do not use acronyms)

Division, Board, Department, District, if applicable Your Position

► If filing for multiple positions, list below or on an attachment. (Do not use acronyms)

Agency: Position:

2. Jurisdiction of Office (Check at least one box)

State Judge, Retired Judge, Pro Tem Judge, or Court Commissioner (Statewide Jurisdiction)
Multi-County County of
City of Other

3. Type of Statement (Check at least one box)

Annual: The period covered is January 1, 2023, through December 31, 2023. Leaving Office: Date Left (Check one circle.)
-or- The period covered is through December 31, 2023. The period covered is January 1, 2023, through the date of leaving office.
Assuming Office: Date assumed -or- The period covered is through the date of leaving office.
Candidate: Date of Election and office sought, if different than Part 1:

4. Schedule Summary (required)

► Total number of pages including this cover page:

Schedules attached

Schedule A-1 - Investments – schedule attached Schedule C - Income, Loans, & Business Positions – schedule attached
Schedule A-2 - Investments – schedule attached Schedule D - Income – Gifts – schedule attached
Schedule B - Real Property – schedule attached Schedule E - Income – Gifts – Travel Payments – schedule attached

-or- None - No reportable interests on any schedule

5. Verification

MAILING ADDRESS STREET CITY STATE ZIP CODE
(Business or Agency Address Recommended - Public Document)

DAYTIME TELEPHONE NUMBER EMAIL ADDRESS
()

I have used all reasonable diligence in preparing this statement. I have reviewed this statement and to the best of my knowledge the information contained herein and in any attached schedules is true and complete. I acknowledge this is a public document.

I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Date Signed (month, day, year)

Signature (File the originally signed paper statement with your filing official.)

Instructions Cover Page

Enter your name, mailing address, and daytime telephone number in the spaces provided. **Because the Form 700 is a public document, you may list your business/office address instead of your home address.**

Part 1. Office, Agency, or Court

- Enter the name of the office sought or held, or the agency or court. Consultants must enter the public agency name rather than their private firm's name. (Examples: State Assembly; Board of Supervisors; Office of the Mayor; Department of Finance; Hope County Superior Court).
- Indicate the name of your division, board, or district, if applicable. (Examples: Division of Waste Management; Board of Accountancy; District 45). **Do not use acronyms.**
- Enter your position title. (Examples: Director; Chief Counsel; City Council Member; Staff Services Analyst).
- If you hold multiple positions (i.e., a city council member who also is a member of a county board or commission) you may be required to file separate and distinct statements with each agency. To simplify your filing obligations, in some cases you may instead complete a single expanded statement and file it with each agency.
 - The rules and processes governing the filing of an expanded statement are set forth in Regulation 18723.1. To file an expanded statement for multiple positions, enter the name of each agency with which you are required to file and your position title with each agency in the space provided. **Do not use acronyms.** Attach an additional sheet if necessary. Complete one statement disclosing all reportable interests for all jurisdictions. Then file the expanded statement with each agency as directed by Regulation 18723.1(c).

If you assume or leave a position after a filing deadline, you must complete a separate statement. For example, a city council member who assumes a position with a county special district after the April annual filing deadline must file a separate assuming office statement. In subsequent years, the city council member may expand their annual filing to include both positions.

Example:

Brian Bourne is a city council member for the City of Lincoln and a board member for the Camp Far West Irrigation District – a multi-county agency that covers the Counties of Placer and Yuba. The City is located within Placer County. Brian may complete one expanded statement to disclose all reportable interests for both offices and list both positions on the Cover Page. Brian will file the expanded statement with each the City and the District as directed by Regulation 18723.1(c).

Part 2. Jurisdiction of Office

- Check the box indicating the jurisdiction of your agency and, if applicable, identify the jurisdiction. Judges, judicial candidates, and court commissioners have statewide jurisdiction. All other filers should review the Reference Pamphlet, page 13, to determine their jurisdiction.
- If your agency is a multi-county office, list each county in which your agency has jurisdiction.

- If your agency is not a state office, court, county office, city office, or multi-county office (e.g., school districts, special districts and JPAs), check the “other” box and enter the county or city in which the agency has jurisdiction.

Example:

This filer is a member of a water district board with jurisdiction in portions of Yuba and Sutter Counties.

1. Office, Agency, or Court	
Agency Name (Do not use acronyms) Feather River Irrigation District	
Division, Board, Department, District, if applicable N/A	Your Position Board Member
▶ If filing for multiple positions, list below or on an attachment. (Do not use acronyms)	
Agency: N/A	Position:
2. Jurisdiction of Office (Check at least one box)	
<input type="checkbox"/> State	<input type="checkbox"/> Judge or Court Commissioner (Statewide Jurisdiction)
<input checked="" type="checkbox"/> Multi-County Yuba & Sutter Counties	<input type="checkbox"/> County of _____
<input type="checkbox"/> City of _____	<input type="checkbox"/> Other _____

Part 3. Type of Statement

Check at least one box. The period covered by a statement is determined by the type of statement you are filing. If you are completing a 2023 annual statement, **do not** change the pre-printed dates to reflect 2024. Your annual statement is used for reporting the **previous year's** economic interests. Economic interests for your annual filing covering January 1, 2024, through December 31, 2024, will be disclosed on your statement filed in 2025. See Reference Pamphlet, page 4.

Combining Statements: Certain types of statements for the same position may be combined. For example, if you leave office after January 1, but before the deadline for filing your annual statement, you may combine your annual and leaving office statements. File by the earliest deadline. Consult your filing officer or the FPPC.

Part 4. Schedule Summary

- Complete the Schedule Summary after you have reviewed each schedule to determine if you have reportable interests.
- Enter the total number of completed pages including the cover page and either check the box for each schedule you use to disclose interests; **or** if you have nothing to disclose on any schedule, check the “No reportable interests” box. Please **do not** attach any blank schedules.

Part 5. Verification

Complete the verification by signing the statement and entering the date signed. Each statement must have an original “wet” signature unless filed with a secure electronic signature. (See page 3 above.) All statements must be signed under penalty of perjury and be verified by the filer pursuant to Government Code Section 81004. See Regulation 18723.1(c) for filing instructions for copies of expanded statements.

When you sign your statement, you are stating, under penalty of perjury, that it is true and correct. Only the filer has authority to sign the statement. An unsigned statement is not considered filed and you may be subject to late filing penalties.

SCHEDULE A-1

Investments

Stocks, Bonds, and Other Interests

(Ownership Interest is Less Than 10%)

Investments must be itemized.

Do not attach brokerage or financial statements.

Name

▶ NAME OF BUSINESS ENTITY

GENERAL DESCRIPTION OF THIS BUSINESS

FAIR MARKET VALUE

\$2,000 - \$10,000	\$10,001 - \$100,000
\$100,001 - \$1,000,000	Over \$1,000,000

NATURE OF INVESTMENT

Stock Other _____
(Describe)

Partnership Income Received of \$0 - \$499
Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

_____/_____/23 ____/_____/23
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

GENERAL DESCRIPTION OF THIS BUSINESS

FAIR MARKET VALUE

\$2,000 - \$10,000	\$10,001 - \$100,000
\$100,001 - \$1,000,000	Over \$1,000,000

NATURE OF INVESTMENT

Stock Other _____
(Describe)

Partnership Income Received of \$0 - \$499
Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

_____/_____/23 ____/_____/23
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

GENERAL DESCRIPTION OF THIS BUSINESS

FAIR MARKET VALUE

\$2,000 - \$10,000	\$10,001 - \$100,000
\$100,001 - \$1,000,000	Over \$1,000,000

NATURE OF INVESTMENT

Stock Other _____
(Describe)

Partnership Income Received of \$0 - \$499
Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

_____/_____/23 ____/_____/23
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

GENERAL DESCRIPTION OF THIS BUSINESS

FAIR MARKET VALUE

\$2,000 - \$10,000	\$10,001 - \$100,000
\$100,001 - \$1,000,000	Over \$1,000,000

NATURE OF INVESTMENT

Stock Other _____
(Describe)

Partnership Income Received of \$0 - \$499
Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

_____/_____/23 ____/_____/23
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

GENERAL DESCRIPTION OF THIS BUSINESS

FAIR MARKET VALUE

\$2,000 - \$10,000	\$10,001 - \$100,000
\$100,001 - \$1,000,000	Over \$1,000,000

NATURE OF INVESTMENT

Stock Other _____
(Describe)

Partnership Income Received of \$0 - \$499
Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

_____/_____/23 ____/_____/23
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

GENERAL DESCRIPTION OF THIS BUSINESS

FAIR MARKET VALUE

\$2,000 - \$10,000	\$10,001 - \$100,000
\$100,001 - \$1,000,000	Over \$1,000,000

NATURE OF INVESTMENT

Stock Other _____
(Describe)

Partnership Income Received of \$0 - \$499
Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

_____/_____/23 ____/_____/23
ACQUIRED DISPOSED

Comments: _____

Instructions – Schedules A-1 and A-2 Investments

“Investment” means a financial interest in any business entity (including a consulting business or other independent contracting business) that is located in, doing business in, planning to do business in, or that has done business during the previous two years in your agency’s jurisdiction in which you, your spouse or registered domestic partner, or your dependent children had a direct, indirect, or beneficial interest totaling \$2,000 or more at any time during the reporting period. (See Reference Pamphlet, page 13.)

Reportable investments include:

- Stocks, bonds, warrants, and options, including those held in margin or brokerage accounts and managed investment funds (See Reference Pamphlet, page 13.)
- Sole proprietorships
- Your own business or your spouse’s or registered domestic partner’s business (See Reference Pamphlet, page 8, for the definition of “business entity.”)
- Your spouse’s or registered domestic partner’s investments even if they are legally separate property
- Partnerships (e.g., a law firm or family farm)
- Investments in reportable business entities held in a retirement account (See Reference Pamphlet, page 15.)
- If you, your spouse or registered domestic partner, and dependent children together had a 10% or greater ownership interest in a business entity or trust (including a living trust), you must disclose investments held by the business entity or trust. (See Reference Pamphlet, page 16, for more information on disclosing trusts.)
- Business trusts

You are not required to disclose:

- Government bonds, diversified mutual funds, certain funds similar to diversified mutual funds (such as exchange traded funds) and investments held in certain retirement accounts. (See Reference Pamphlet, page 13.) (Regulation 18237)
- Bank accounts, savings accounts, money market accounts and certificates of deposits
- Cryptocurrency
- Insurance policies
- Annuities
- Commodities
- Shares in a credit union
- Government bonds (including municipal bonds)

Reminders

- Do you know your agency’s jurisdiction?
- Did you hold investments at any time during the period covered by this statement?
- Code filers – your disclosure categories may only require disclosure of specific investments.

- Retirement accounts invested in non-reportable interests (e.g., insurance policies, mutual funds, or government bonds) (See Reference Pamphlet, page 15.)
- Government defined-benefit pension plans (such as CalPERS and CalSTRS plans)
- Certain interests held in a blind trust (See Reference Pamphlet, page 16.)

Use Schedule A-1 to report ownership of less than 10% (e.g., stock). Schedule C (Income) may also be required if the investment is not a stock or corporate bond. (See second example below.)

Use Schedule A-2 to report ownership of 10% or greater (e.g., a sole proprietorship).

To Complete Schedule A-1:

Do not attach brokerage or financial statements.

- Disclose the name of the business entity. Do not use acronyms for the name of the business entity, unless it is one that is commonly understood by the public.
- Provide a general description of the business activity of the entity (e.g., pharmaceuticals, computers, automobile manufacturing, or communications).
- Check the box indicating the highest fair market value of your investment during the reporting period. If you are filing a candidate or an assuming office statement, indicate the fair market value on the filing date or the date you took office, respectively. (See page 20 for more information.)
- Identify the nature of your investment (e.g., stocks, warrants, options, or bonds).
- An acquired or disposed of date is only required if you initially acquired or entirely disposed of the investment interest during the reporting period. The date of a stock dividend reinvestment or partial disposal is not required. Generally, these dates will not apply if you are filing a candidate or an assuming office statement.

Examples:

Frank Byrd holds a state agency position. Frank’s conflict of interest code requires full disclosure of investments. Frank must disclose stock holdings of \$2,000 or more in any company that is located in or does business in California, as well as those stocks held by Frank’s spouse or registered domestic partner and dependent children.

Alice Lance is a city council member. Alice has a 4% interest, worth \$5,000, in a limited partnership located in the city. Alice must disclose the partnership on Schedule A-1 and income of \$500 or more received from the partnership on Schedule C.

SCHEDULE A-2

Investments, Income, and Assets of Business Entities/Trusts

(Ownership Interest is 10% or Greater)

CALIFORNIA FORM 700

FAIR POLITICAL PRACTICES COMMISSION

Name _____

▶ 1. BUSINESS ENTITY OR TRUST

Name _____

Address (Business Address Acceptable) _____

Check one
 Trust, go to 2 Business Entity, complete the box, then go to 2

GENERAL DESCRIPTION OF THIS BUSINESS

FAIR MARKET VALUE IF APPLICABLE, LIST DATE:

\$0 - \$1,999			
\$2,000 - \$10,000	____/____/23	____/____/23	
\$10,001 - \$100,000	ACQUIRED	DISPOSED	
\$100,001 - \$1,000,000			
Over \$1,000,000			

NATURE OF INVESTMENT

Partnership Sole Proprietorship _____ Other

YOUR BUSINESS POSITION _____

▶ 2. IDENTIFY THE GROSS INCOME RECEIVED (INCLUDE YOUR PRO RATA SHARE OF THE GROSS INCOME TO THE ENTITY/TRUST)

\$0 - \$499	\$10,001 - \$100,000
\$500 - \$1,000	OVER \$100,000
\$1,001 - \$10,000	

▶ 3. LIST THE NAME OF EACH REPORTABLE SINGLE SOURCE OF INCOME OF \$10,000 OR MORE (Attach a separate sheet if necessary.)

None or Names listed below _____

▶ 4. INVESTMENTS AND INTERESTS IN REAL PROPERTY HELD OR LEASED BY THE BUSINESS ENTITY OR TRUST

Check one box:

INVESTMENT REAL PROPERTY

Name of Business Entity, if Investment, or Assessor's Parcel Number or Street Address of Real Property _____

Description of Business Activity or City or Other Precise Location of Real Property _____

FAIR MARKET VALUE IF APPLICABLE, LIST DATE:

\$2,000 - \$10,000			
\$10,001 - \$100,000	____/____/23	____/____/23	
\$100,001 - \$1,000,000	ACQUIRED	DISPOSED	
Over \$1,000,000			

NATURE OF INTEREST

Property Ownership/Deed of Trust Stock Partnership

Leasehold _____ Other _____

Yrs. remaining

Check box if additional schedules reporting investments or real property are attached

▶ 1. BUSINESS ENTITY OR TRUST

Name _____

Address (Business Address Acceptable) _____

Check one
 Trust, go to 2 Business Entity, complete the box, then go to 2

GENERAL DESCRIPTION OF THIS BUSINESS

FAIR MARKET VALUE IF APPLICABLE, LIST DATE:

\$0 - \$1,999			
\$2,000 - \$10,000	____/____/23	____/____/23	
\$10,001 - \$100,000	ACQUIRED	DISPOSED	
\$100,001 - \$1,000,000			
Over \$1,000,000			

NATURE OF INVESTMENT

Partnership Sole Proprietorship _____ Other

YOUR BUSINESS POSITION _____

▶ 2. IDENTIFY THE GROSS INCOME RECEIVED (INCLUDE YOUR PRO RATA SHARE OF THE GROSS INCOME TO THE ENTITY/TRUST)

\$0 - \$499	\$10,001 - \$100,000
\$500 - \$1,000	OVER \$100,000
\$1,001 - \$10,000	

▶ 3. LIST THE NAME OF EACH REPORTABLE SINGLE SOURCE OF INCOME OF \$10,000 OR MORE (Attach a separate sheet if necessary.)

None or Names listed below _____

▶ 4. INVESTMENTS AND INTERESTS IN REAL PROPERTY HELD OR LEASED BY THE BUSINESS ENTITY OR TRUST

Check one box:

INVESTMENT REAL PROPERTY

Name of Business Entity, if Investment, or Assessor's Parcel Number or Street Address of Real Property _____

Description of Business Activity or City or Other Precise Location of Real Property _____

FAIR MARKET VALUE IF APPLICABLE, LIST DATE:

\$2,000 - \$10,000			
\$10,001 - \$100,000	____/____/23	____/____/23	
\$100,001 - \$1,000,000	ACQUIRED	DISPOSED	
Over \$1,000,000			

NATURE OF INTEREST

Property Ownership/Deed of Trust Stock Partnership

Leasehold _____ Other _____

Yrs. remaining

Check box if additional schedules reporting investments or real property are attached

Comments: _____

Instructions – Schedule A-2

Investments, Income, and Assets of Business Entities/Trusts

Use Schedule A-2 to report investments in a business entity (including a consulting business or other independent contracting business) or trust (including a living trust) in which you, your spouse or registered domestic partner, and your dependent children, together or separately, had a 10% or greater interest, totaling \$2,000 or more, during the reporting period and which is located in, doing business in, planning to do business in, or which has done business during the previous two years in your agency's jurisdiction. (See Reference Pamphlet, page 13.) A trust located outside your agency's jurisdiction is reportable if it holds assets that are located in or doing business in the jurisdiction. Do not report a trust that contains non-reportable interests. For example, a trust containing only your personal residence not used in whole or in part as a business, your savings account, and some municipal bonds, is not reportable.

Also report on Schedule A-2 investments and real property held by that entity or trust if your pro rata share of the investment or real property interest was \$2,000 or more during the reporting period.

To Complete Schedule A-2:

Part 1. Disclose the name and address of the business entity or trust. If you are reporting an interest in a business entity, check "Business Entity" and complete the box as follows:

- Provide a general description of the business activity of the entity.
- Check the box indicating the highest fair market value of your investment during the reporting period.
- If you initially acquired or entirely disposed of this interest during the reporting period, enter the date acquired or disposed.
- Identify the nature of your investment.
- Disclose the job title or business position you held with the entity, if any (i.e., if you were a director, officer, partner, trustee, employee, or held any position of management). A business position held by your spouse is not reportable.

Part 2. Check the box indicating **your pro rata** share of the **gross** income received **by** the business entity or trust. This amount includes your pro rata share of the **gross** income **from** the business entity or trust, as well as your community property interest in your spouse's or registered domestic partner's share. Gross income is the total amount of income before deducting expenses, losses, or taxes.

Part 3. Disclose the name of each source of income that is located in, doing business in, planning to do business in, or that has done business during the previous two years in your agency's jurisdiction, as follows:

- Disclose each source of income and outstanding loan **to the business entity or trust** identified in Part 1 if your pro rata share of the **gross** income (including your community property interest in your spouse's or registered domestic partner's share) to the business entity or trust from that source was \$10,000 or more during the reporting period. (See Reference Pamphlet, page 11, for examples.) Income from governmental sources may be reportable if not considered salary. See Regulation 18232. Loans from commercial lending institutions made in the lender's regular course of business on terms available to members of the public without regard to your official status are not reportable.
- Disclose each individual or entity that was a source of commission income of \$10,000 or more during the reporting period through the business entity identified in Part 1. (See Reference Pamphlet, page 8.)

You may be required to disclose sources of income located outside your jurisdiction. For example, you may have a client who resides outside your jurisdiction who does business on a regular basis with you. Such a client, if a reportable source of \$10,000 or more, must be disclosed.

Mark "None" if you do not have any reportable \$10,000 sources of income to disclose. Phrases such as "various clients" or "not disclosing sources pursuant to attorney-client privilege" are not adequate disclosure. (See Reference Pamphlet, page 14, for information on procedures to request an exemption from disclosing privileged information.)

Part 4. Report any investments or interests in real property held or leased **by the entity or trust** identified in Part 1 if your pro rata share of the interest held was \$2,000 or more during the reporting period. Attach additional schedules or use FPPC's Form 700 Excel spreadsheet if needed.

- Check the applicable box identifying the interest held as real property or an investment.
- If investment, provide the name and description of the business entity.
- If real property, report the precise location (e.g., an assessor's parcel number or address).
- Check the box indicating the highest fair market value of your interest in the real property or investment during the reporting period. (Report the fair market value of the portion of your residence claimed as a tax deduction if you are utilizing your residence for business purposes.)
- Identify the nature of your interest.
- Enter the date acquired or disposed only if you initially acquired or entirely disposed of your interest in the property or investment during the reporting period.

SCHEDULE B
Interests in Real Property
 (Including Rental Income)

Name _____

▶ ASSESSOR'S PARCEL NUMBER OR STREET ADDRESS _____

CITY _____

FAIR MARKET VALUE IF APPLICABLE, LIST DATE:

\$2,000 - \$10,000		
\$10,001 - \$100,000	____/____/23	____/____/23
\$100,001 - \$1,000,000	ACQUIRED	DISPOSED
Over \$1,000,000		

NATURE OF INTEREST

Ownership/Deed of Trust	Easement
Leasehold _____	_____
Yrs. remaining	Other

IF RENTAL PROPERTY, GROSS INCOME RECEIVED

\$0 - \$499	\$500 - \$1,000	\$1,001 - \$10,000
\$10,001 - \$100,000	OVER \$100,000	

SOURCES OF RENTAL INCOME: If you own a 10% or greater interest, list the name of each tenant that is a single source of income of \$10,000 or more.

None

▶ ASSESSOR'S PARCEL NUMBER OR STREET ADDRESS _____

CITY _____

FAIR MARKET VALUE IF APPLICABLE, LIST DATE:

\$2,000 - \$10,000		
\$10,001 - \$100,000	____/____/23	____/____/23
\$100,001 - \$1,000,000	ACQUIRED	DISPOSED
Over \$1,000,000		

NATURE OF INTEREST

Ownership/Deed of Trust	Easement
Leasehold _____	_____
Yrs. remaining	Other

IF RENTAL PROPERTY, GROSS INCOME RECEIVED

\$0 - \$499	\$500 - \$1,000	\$1,001 - \$10,000
\$10,001 - \$100,000	OVER \$100,000	

SOURCES OF RENTAL INCOME: If you own a 10% or greater interest, list the name of each tenant that is a single source of income of \$10,000 or more.

None

* You are not required to report loans from a commercial lending institution made in the lender's regular course of business on terms available to members of the public without regard to your official status. Personal loans and loans received not in a lender's regular course of business must be disclosed as follows:

NAME OF LENDER* _____

ADDRESS (Business Address Acceptable) _____

BUSINESS ACTIVITY, IF ANY, OF LENDER _____

INTEREST RATE TERM (Months/Years)

_____%	None	_____
--------	------	-------

HIGHEST BALANCE DURING REPORTING PERIOD

\$500 - \$1,000	\$1,001 - \$10,000
\$10,001 - \$100,000	OVER \$100,000

Guarantor, if applicable _____

NAME OF LENDER* _____

ADDRESS (Business Address Acceptable) _____

BUSINESS ACTIVITY, IF ANY, OF LENDER _____

INTEREST RATE TERM (Months/Years)

_____%	None	_____
--------	------	-------

HIGHEST BALANCE DURING REPORTING PERIOD

\$500 - \$1,000	\$1,001 - \$10,000
\$10,001 - \$100,000	OVER \$100,000

Guarantor, if applicable _____

Comments: _____

Instructions – Schedule B Interests in Real Property

Report interests in real property located in your agency's jurisdiction in which you, your spouse or registered domestic partner, or your dependent children had a direct, indirect, or beneficial interest totaling \$2,000 or more any time during the reporting period. Real property is also considered to be "within the jurisdiction" of a local government agency if the property or any part of it is located within two miles outside the boundaries of the jurisdiction or within two miles of any land owned or used by the local government agency. (See Reference Pamphlet, page 13.)

Interests in real property include:

- An ownership interest (including a beneficial ownership interest)
- A deed of trust, easement, or option to acquire property
- A leasehold interest (See Reference Pamphlet, page 14.)
- A mining lease
- An interest in real property held in a retirement account (See Reference Pamphlet, page 15.)
- An interest in real property held by a business entity or trust in which you, your spouse or registered domestic partner, and your dependent children together had a 10% or greater ownership interest (Report on Schedule A-2.)
- Your spouse's or registered domestic partner's interests in real property that are legally held separately by him or her

You are not required to report:

- A residence, such as a home or vacation cabin, used exclusively as a personal residence (However, a residence in which you rent out a room or for which you claim a business deduction may be reportable. If reportable, report the fair market value of the portion claimed as a tax deduction.)
- Some interests in real property held through a blind trust (See Reference Pamphlet, page 16.)
 - **Please note:** A non-reportable property can still be grounds for a conflict of interest and may be disqualifying.

To Complete Schedule B:

- Report the precise location (e.g., an assessor's parcel number or address) of the real property.
- Check the box indicating the fair market value of your interest in the property (regardless of what you owe on the property).
- Enter the date acquired or disposed only if you initially acquired or entirely disposed of your interest in the property during the reporting period.
- Identify the nature of your interest. If it is a leasehold,

Reminders

- Income and loans already reported on Schedule B are not also required to be reported on Schedule C.
- Real property already reported on Schedule A-2, Part 4 is not also required to be reported on Schedule B.
- Code filers – do your disclosure categories require disclosure of real property?

disclose the number of years remaining on the lease.

- If you received rental income, check the box indicating the gross amount you received.
- If you had a 10% or greater interest in real property and received rental income, list the name of the source(s) if your pro rata share of the gross income from any single tenant was \$10,000 or more during the reporting period. If you received a total of \$10,000 or more from two or more tenants acting in concert (in most cases, this will apply to married couples), disclose the first and last name of each tenant. Otherwise, mark "None."
- Loans from a private lender that total \$500 or more and are secured by real property may be reportable. **Loans from commercial lending institutions made in the lender's regular course of business on terms available to members of the public without regard to your official status are not reportable.**

When reporting a loan:

- Provide the name and address of the lender.
- Describe the lender's business activity.
- Disclose the interest rate and term of the loan. For variable interest rate loans, disclose the conditions of the loan (e.g., Prime + 2) or the average interest rate paid during the reporting period. The term of a loan is the total number of months or years given for repayment of the loan at the time the loan was established.
- Check the box indicating the highest balance of the loan during the reporting period.
- Identify a guarantor, if applicable.

If you have more than one reportable loan on a single piece of real property, report the additional loan(s) on Schedule C.

Example:

Allison Gande is a city planning commissioner. During the reporting period, Allison received rental income of \$12,000, from a single tenant who rented property owned in the city's jurisdiction. If Allison received \$6,000 each from two tenants, the tenants' names would not be required because no single tenant paid her \$10,000 or more. A married couple is considered a single tenant.

ASSESSOR'S PARCEL NUMBER OR STREET ADDRESS 4600 24th Street	
CITY Sacramento	
FAIR MARKET VALUE	IF APPLICABLE, LIST DATE:
<input type="checkbox"/> \$2,000 - \$10,000	<input type="checkbox"/> / / XX / XX
<input type="checkbox"/> \$10,001 - \$100,000	<input type="checkbox"/> ACQUIRED <input type="checkbox"/> DISPOSED
<input checked="" type="checkbox"/> \$100,001 - \$1,000,000	
<input type="checkbox"/> Over \$1,000,000	
NATURE OF INTEREST	
<input type="checkbox"/> Ownership/Deed of Trust	<input type="checkbox"/> Easement
<input type="checkbox"/> Leasehold	<input type="checkbox"/> Other
IF RENTAL PROPERTY, GROSS INCOME RECEIVED	
<input type="checkbox"/> \$0 - \$499	<input type="checkbox"/> \$500 - \$1,000
<input type="checkbox"/> \$1,001 - \$10,000	<input type="checkbox"/> \$10,001 - \$100,000
<input checked="" type="checkbox"/> \$10,001 - \$100,000	<input type="checkbox"/> OVER \$100,000
SOURCES OF RENTAL INCOME: If you own a 10% or greater interest, list the name of each tenant that is a single source of income of \$10,000 or more.	
<input type="checkbox"/> None	
Henry Wells	
NAME OF LENDER*	
Sophia Petroillo	
ADDRESS (Business Address Acceptable)	
2121 Blue Sky Parkway, Sacramento	
BUSINESS ACTIVITY, IF ANY, OF LENDER	
Restaurant Owner	
INTEREST RATE	TERM (Months/Years)
8 % <input type="checkbox"/> None	15 Years
HIGHEST BALANCE DURING REPORTING PERIOD	
<input type="checkbox"/> \$500 - \$1,000	<input type="checkbox"/> \$1,001 - \$10,000
<input checked="" type="checkbox"/> \$10,001 - \$100,000	<input type="checkbox"/> OVER \$100,000
<input type="checkbox"/> Guarantor, if applicable	
Comments:	

SCHEDULE C

Income, Loans, & Business Positions

(Other than Gifts and Travel Payments)

CALIFORNIA FORM 700

FAIR POLITICAL PRACTICES COMMISSION

Name _____

▶ 1. INCOME RECEIVED	▶ 1. INCOME RECEIVED												
<p>NAME OF SOURCE OF INCOME _____</p> <p>ADDRESS <i>(Business Address Acceptable)</i> _____</p> <p>BUSINESS ACTIVITY, IF ANY, OF SOURCE _____</p> <p>YOUR BUSINESS POSITION _____</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; border: none;">GROSS INCOME RECEIVED</td> <td style="width: 50%; border: none;">No Income - Business Position Only</td> </tr> <tr> <td style="border: none;">\$500 - \$1,000</td> <td style="border: none;">\$1,001 - \$10,000</td> </tr> <tr> <td style="border: none;">\$10,001 - \$100,000</td> <td style="border: none;">OVER \$100,000</td> </tr> </table> <p>CONSIDERATION FOR WHICH INCOME WAS RECEIVED</p> <p>Salary Spouse's or registered domestic partner's income (For self-employed use Schedule A-2.)</p> <p>Partnership (Less than 10% ownership. For 10% or greater use Schedule A-2.)</p> <p>Sale of _____ <i>(Real property, car, boat, etc.)</i></p> <p>Loan repayment</p> <p>Commission or Rental Income, list each source of \$10,000 or more</p> <p>_____ <i>(Describe)</i></p> <p>Other _____ <i>(Describe)</i></p>	GROSS INCOME RECEIVED	No Income - Business Position Only	\$500 - \$1,000	\$1,001 - \$10,000	\$10,001 - \$100,000	OVER \$100,000	<p>NAME OF SOURCE OF INCOME _____</p> <p>ADDRESS <i>(Business Address Acceptable)</i> _____</p> <p>BUSINESS ACTIVITY, IF ANY, OF SOURCE _____</p> <p>YOUR BUSINESS POSITION _____</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; border: none;">GROSS INCOME RECEIVED</td> <td style="width: 50%; border: none;">No Income - Business Position Only</td> </tr> <tr> <td style="border: none;">\$500 - \$1,000</td> <td style="border: none;">\$1,001 - \$10,000</td> </tr> <tr> <td style="border: none;">\$10,001 - \$100,000</td> <td style="border: none;">OVER \$100,000</td> </tr> </table> <p>CONSIDERATION FOR WHICH INCOME WAS RECEIVED</p> <p>Salary Spouse's or registered domestic partner's income (For self-employed use Schedule A-2.)</p> <p>Partnership (Less than 10% ownership. For 10% or greater use Schedule A-2.)</p> <p>Sale of _____ <i>(Real property, car, boat, etc.)</i></p> <p>Loan repayment</p> <p>Commission or Rental Income, list each source of \$10,000 or more</p> <p>_____ <i>(Describe)</i></p> <p>Other _____ <i>(Describe)</i></p>	GROSS INCOME RECEIVED	No Income - Business Position Only	\$500 - \$1,000	\$1,001 - \$10,000	\$10,001 - \$100,000	OVER \$100,000
GROSS INCOME RECEIVED	No Income - Business Position Only												
\$500 - \$1,000	\$1,001 - \$10,000												
\$10,001 - \$100,000	OVER \$100,000												
GROSS INCOME RECEIVED	No Income - Business Position Only												
\$500 - \$1,000	\$1,001 - \$10,000												
\$10,001 - \$100,000	OVER \$100,000												

▶ 2. LOANS RECEIVED OR OUTSTANDING DURING THE REPORTING PERIOD

* You are not required to report loans from a commercial lending institution, or any indebtedness created as part of a retail installment or credit card transaction, made in the lender's regular course of business on terms available to members of the public without regard to your official status. Personal loans and loans received not in a lender's regular course of business must be disclosed as follows:

<p>NAME OF LENDER* _____</p> <p>ADDRESS <i>(Business Address Acceptable)</i> _____</p> <p>BUSINESS ACTIVITY, IF ANY, OF LENDER _____</p> <p>HIGHEST BALANCE DURING REPORTING PERIOD</p> <p>\$500 - \$1,000</p> <p>\$1,001 - \$10,000</p> <p>\$10,001 - \$100,000</p> <p>OVER \$100,000</p>	<p>INTEREST RATE TERM (Months/Years)</p> <p>_____ % None _____</p> <p>SECURITY FOR LOAN</p> <p>None Personal residence</p> <p>Real Property _____ <i>Street address</i></p> <p>_____ <i>City</i></p> <p>Guarantor _____</p> <p>Other _____ <i>(Describe)</i></p>
--	--

Comments: _____

Instructions – Schedule C

Income, Loans, & Business Positions

(Income Other Than Gifts and Travel Payments)

Reporting Income:

Report the source and amount of gross income of \$500 or more you received during the reporting period. Gross income is the total amount of income before deducting expenses, losses, or taxes and includes loans other than loans from a commercial lending institution. (See Reference Pamphlet, page 11.) You must also report the source of income to your spouse or registered domestic partner if your community property share was \$500 or more during the reporting period.

The source and income must be reported only if the source is located in, doing business in, planning to do business in, or has done business during the previous two years in your agency's jurisdiction. (See Reference Pamphlet, page 13.) Reportable sources of income may be further limited by your disclosure category located in your agency's conflict of interest code.

Reporting Business Positions:

You must report your job title with each reportable business entity even if you received no income during the reporting period. Use the comments section to indicate that no income was received.

Commonly reportable income and loans include:

- Salary/wages, per diem, and reimbursement for expenses including travel payments provided by your employer
- Community property interest (50%) in your spouse's or registered domestic partner's income - **report the employer's name and all other required information**
- Income from investment interests, such as partnerships, reported on Schedule A-1
- Commission income not required to be reported on Schedule A-2 (See Reference Pamphlet, page 8.)
- Gross income from any sale, including the sale of a house or car (Report your pro rata share of the total sale price.)
- Rental income not required to be reported on Schedule B
- Prizes or awards not disclosed as gifts
- Payments received on loans you made to others
- An honorarium received prior to becoming a public official (See Reference Pamphlet, page 10.)
- Incentive compensation (See Reference Pamphlet, page 12.)

Reminders

- Code filers – your disclosure categories may not require disclosure of all sources of income.
- If you or your spouse or registered domestic partner are self-employed, report the business entity on Schedule A-2.
- Do not disclose on Schedule C income, loans, or business positions already reported on Schedules A-2 or B.

You are not required to report:

- Salary, reimbursement for expenses or per diem, or social security, disability, or other similar benefit payments received by you or your spouse or registered domestic partner from a federal, state, or local government agency.
- Stock dividends and income from the sale of stock unless the source can be identified.
- Income from a PERS retirement account.

(See Reference Pamphlet, page 12.)

To Complete Schedule C:

Part 1. Income Received/Business Position Disclosure

- Disclose the name and address of each source of income or each business entity with which you held a business position.
- Provide a general description of the business activity if the source is a business entity.
- Check the box indicating the amount of gross income received.
- Identify the consideration for which the income was received.
- For income from commission sales, check the box indicating the gross income received and list the name of each source of commission income of \$10,000 or more. (See Reference Pamphlet, page 8.) **Note: If you receive commission income on a regular basis or have an ownership interest of 10% or more, you must disclose the business entity and the income on Schedule A-2.**
- Disclose the job title or business position, if any, that you held with the business entity, even if you did not receive income during the reporting period.

Part 2. Loans Received or Outstanding During the Reporting Period

- Provide the name and address of the lender.
- Provide a general description of the business activity if the lender is a business entity.
- Check the box indicating the highest balance of the loan during the reporting period.
- Disclose the interest rate and the term of the loan.
 - For variable interest rate loans, disclose the conditions of the loan (e.g., Prime + 2) or the average interest rate paid during the reporting period.
 - The term of the loan is the total number of months or years given for repayment of the loan at the time the loan was entered into.
- Identify the security, if any, for the loan.

SCHEDULE D
Income – Gifts

Name _____

▶ NAME OF SOURCE *(Not an Acronym)*

ADDRESS *(Business Address Acceptable)*

BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____

▶ NAME OF SOURCE *(Not an Acronym)*

ADDRESS *(Business Address Acceptable)*

BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____

▶ NAME OF SOURCE *(Not an Acronym)*

ADDRESS *(Business Address Acceptable)*

BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____

▶ NAME OF SOURCE *(Not an Acronym)*

ADDRESS *(Business Address Acceptable)*

BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____

▶ NAME OF SOURCE *(Not an Acronym)*

ADDRESS *(Business Address Acceptable)*

BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____

▶ NAME OF SOURCE *(Not an Acronym)*

ADDRESS *(Business Address Acceptable)*

BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____

Comments: _____

Instructions – Schedule D Income – Gifts

A gift is anything of value for which you have not provided equal or greater consideration to the donor. A gift is reportable if its fair market value is \$50 or more. In addition, multiple gifts totaling \$50 or more received during the reporting period from a single source must be reported.

It is the acceptance of a gift, not the ultimate use to which it is put, that imposes your reporting obligation. Except as noted below, you must report a gift even if you never used it or if you gave it away to another person.

If the exact amount of a gift is unknown, you must make a good faith estimate of the item's fair market value. Listing the value of a gift as "over \$50" or "value unknown" is not adequate disclosure. In addition, if you received a gift through an intermediary, you must disclose the name, address, and business activity of both the donor and the intermediary. You may indicate an intermediary either in the "source" field after the name or in the "comments" section at the bottom of Schedule D.

Commonly reportable gifts include:

- Tickets/passes to sporting or entertainment events
- Tickets/passes to amusement parks
- Parking passes not used for official agency business
- Food, beverages, and accommodations, including those provided in direct connection with your attendance at a convention, conference, meeting, social event, meal, or like gathering
- Rebates/discounts not made in the regular course of business to members of the public without regard to official status
- Wedding gifts (See Reference Pamphlet, page 16)
- An honorarium received prior to assuming office (You may report an honorarium as income on Schedule C, rather than as a gift on Schedule D, if you provided services of equal or greater value than the payment received. See Reference Pamphlet, page 10.)
- Transportation and lodging (See Schedule E.)
- Forgiveness of a loan received by you

Reminders

- Gifts from a single source are subject to a \$590 limit in 2023. (See Reference Pamphlet, page 10.)
- Code filers – you only need to report gifts from reportable sources.

Gift Tracking Mobile Application

- FPPC has created a gift tracking app for mobile devices that helps filers track gifts and provides a quick and easy way to upload the information to the Form 700. Visit FPPC's website to download the app.

You are not required to disclose:

- Gifts that were not used and that, within 30 days after receipt, were returned to the donor or delivered to a charitable organization or government agency without being claimed by you as a charitable contribution for tax purposes
- Gifts from your spouse or registered domestic partner, child, parent, grandparent, grandchild, brother, sister, and certain other family members (See Regulation 18942 for a complete list.). The exception does not apply if the donor was acting as an agent or intermediary for a reportable source who was the true donor.
- Gifts of similar value exchanged between you and an individual, other than a lobbyist registered to lobby your state agency, on holidays, birthdays, or similar occasions
- Gifts of informational material provided to assist you in the performance of your official duties (e.g., books, pamphlets, reports, calendars, periodicals, or educational seminars)
- A monetary bequest or inheritance (However, inherited investments or real property may be reportable on other schedules.)
- Personalized plaques or trophies with an individual value of less than \$250
- Campaign contributions
- Up to two tickets, for your own use, to attend a fundraiser for a campaign committee or candidate, or to a fundraiser for an organization exempt from taxation under Section 501(c)(3) of the Internal Revenue Code. The ticket must be received from the organization or committee holding the fundraiser.
- Gifts given to members of your immediate family if the source has an established relationship with the family member and there is no evidence to suggest the donor had a purpose to influence you. (See Regulation 18943.)
- Free admission, food, and nominal items (such as a pen, pencil, mouse pad, note pad or similar item) available to all attendees, at the event at which the official makes a speech (as defined in Regulation 18950(b)(2)), so long as the admission is provided by the person who organizes the event.
- Any other payment not identified above, that would otherwise meet the definition of gift, where the payment is made by an individual who is not a lobbyist registered to lobby the official's state agency, where it is clear that the gift was made because of an existing personal or business relationship unrelated to the official's position and there is no evidence whatsoever at the time the gift is made to suggest the donor had a purpose to influence you.

To Complete Schedule D:

- Disclose the full name (not an acronym), address, and, if a business entity, the business activity of the source.
- Provide the date (month, day, and year) of receipt, and disclose the fair market value and description of the gift.

SCHEDULE E
Income – Gifts
Travel Payments, Advances,
and Reimbursements

Name _____

- Mark either the gift or income box.
- Mark the “501(c)(3)” box for a travel payment received from a nonprofit 501(c)(3) organization or the “Speech” box if you made a speech or participated in a panel. Per Government Code Section 89506, these payments may not be subject to the gift limit. However, they may result in a disqualifying conflict of interest.
- For gifts of travel, provide the travel destination.

▶ NAME OF SOURCE *(Not an Acronym)* _____

ADDRESS *(Business Address Acceptable)* _____

CITY AND STATE _____

501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE _____

DATE(S): ____/____/____ - ____/____/____ AMT: \$ _____
(If gift)

▶ MUST CHECK ONE: Gift **-or-** Income

 Made a Speech/Participated in a Panel _____

 Other - Provide Description _____

▶ If Gift, Provide Travel Destination _____

▶ NAME OF SOURCE *(Not an Acronym)* _____

ADDRESS *(Business Address Acceptable)* _____

CITY AND STATE _____

501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE _____

DATE(S): ____/____/____ - ____/____/____ AMT: \$ _____
(If gift)

▶ MUST CHECK ONE: Gift **-or-** Income

 Made a Speech/Participated in a Panel _____

 Other - Provide Description _____

▶ If Gift, Provide Travel Destination _____

▶ NAME OF SOURCE *(Not an Acronym)* _____

ADDRESS *(Business Address Acceptable)* _____

CITY AND STATE _____

501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE _____

DATE(S): ____/____/____ - ____/____/____ AMT: \$ _____
(If gift)

▶ MUST CHECK ONE: Gift **-or-** Income

 Made a Speech/Participated in a Panel _____

 Other - Provide Description _____

▶ If Gift, Provide Travel Destination _____

▶ NAME OF SOURCE *(Not an Acronym)* _____

ADDRESS *(Business Address Acceptable)* _____

CITY AND STATE _____

501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE _____

DATE(S): ____/____/____ - ____/____/____ AMT: \$ _____
(If gift)

▶ MUST CHECK ONE: Gift **-or-** Income

 Made a Speech/Participated in a Panel _____

 Other - Provide Description _____

▶ If Gift, Provide Travel Destination _____

Comments: _____

Instructions – Schedule E Travel Payments, Advances, and Reimbursements

Travel payments reportable on Schedule E include advances and reimbursements for travel and related expenses, including lodging and meals.

Gifts of travel may be subject to the gift limit. In addition, certain travel payments are reportable gifts, but are not subject to the gift limit. To avoid possible misinterpretation or the perception that you have received a gift in excess of the gift limit, you may wish to provide a specific description of the purpose of your travel. (See the FPPC fact sheet entitled “Limitations and Restrictions on Gifts, Honoraria, Travel, and Loans” to read about travel payments under section 89506(a).)

You are not required to disclose:

- Travel payments received from any state, local, or federal government agency for which you provided services equal or greater in value than the payments received, such as reimbursement for travel on agency business from your government agency employer.
- A payment for travel from another local, state, or federal government agency and related per diem expenses when the travel is for education, training or other inter-agency programs or purposes.
- Travel payments received from your employer in the normal course of your employment that are included in the income reported on Schedule C.
- A travel payment that was received from a nonprofit entity exempt from taxation under Internal Revenue Code Section 501(c)(3) for which you provided equal or greater consideration, such as reimbursement for travel on business for a 501(c)(3) organization for which you are a board member.

Note: Certain travel payments may not be reportable if reported via email on Form 801 by your agency.

To Complete Schedule E:

- Disclose the full name (not an acronym) and address of the source of the travel payment.
- Identify the business activity if the source is a business entity.
- Check the box to identify the payment as a gift or income, report the amount, and disclose the date(s).
 - **Travel payments are gifts** if you did not provide services that were equal to or greater in value than the payments received. You must disclose gifts totaling \$500 or more from a single source during the period covered by the statement.

When reporting travel payments that are gifts, you must provide a description of the gift, the **date(s)** received, and the **travel destination**.

- **Travel payments are income** if you provided services that were equal to or greater in value than the

payments received. You must disclose income totaling \$500 or more from a single source during the period covered by the statement. You have the burden of proving the payments are income rather than gifts. When reporting travel payments as income, you must describe the services you provided in exchange for the payment. You are not required to disclose the date(s) for travel payments that are income.

Example:

City council member MaryClaire Chandler is the chair of a 501(c)(6) trade association, and the association pays for MaryClaire's travel to attend its meetings. Because MaryClaire is deemed to be providing equal or greater consideration for the travel payment by virtue of serving on the board, this payment may be reported as income. Payments for MaryClaire to attend other events for which they are not providing services are likely considered gifts.

▶ NAME OF SOURCE (Not an Acronym)	
Health Services Trade Association	
ADDRESS (Business Address Acceptable)	
1230 K Street, Suite 610	
CITY AND STATE	
Sacramento, CA	
<input type="checkbox"/> 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE	
Association of Healthcare Workers	
DATE(S):	AMT: \$ 550.00
(if gift)	
▶ MUST CHECK ONE: <input type="checkbox"/> Gift -or- <input checked="" type="checkbox"/> Income	
<input type="radio"/> Made a Speech/Participated in a Panel	
<input checked="" type="radio"/> Other - Provide Description <u>Travel reimbursement for board meeting.</u>	
▶ If Gift, Provide Travel Destination _____	

Note that the same payment from a 501(c)(3) would NOT be reportable.

Example:

Mayor Kim travels to China on a trip organized by China Silicon Valley Business Development, a California nonprofit, 501(c)(6) organization. The Chengdu Municipal People's Government pays for Mayor Kim's airfare and travel costs, as well as meals and lodging during the trip. The trip's agenda shows that the trip's purpose is to promote job creation and economic activity in China and in Silicon Valley, so the trip is reasonably related to a governmental purpose.

▶ NAME OF SOURCE (Not an Acronym)	
Chengdu Municipal People's Government	
ADDRESS (Business Address Acceptable)	
2 Caoshi St. CaoShiJie, Qingyang Qu, Chengdu Shi,	
CITY AND STATE	
Sichuan Sheng, China, 610000	
<input type="checkbox"/> 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE	
DATE(S):	AMT: \$ 3,874.38
(if gift)	
▶ MUST CHECK ONE: <input checked="" type="checkbox"/> Gift -or- <input type="checkbox"/> Income	
<input type="radio"/> Made a Speech/Participated in a Panel	
<input checked="" type="radio"/> Other - Provide Description <u>Travel reimbursement for trip to China.</u>	
▶ If Gift, Provide Travel Destination <u>Sichuan Sheng, China</u>	

Thus, Mayor Kim must report the gift of travel, but the gift is exempt from the gift limit. In this case, the travel payments are not subject to the gift limit because the source is a foreign government and because the travel is reasonably related to a governmental purpose. (Section 89506(a)(2).) Note that Mayor Kim could be disqualified from participating in or making decisions about The Chengdu Municipal People's Government for 12 months. Also note that if China Silicon Valley Business Development (a 501(c)(6) organization) paid for the travel costs rather than the governmental organization, the payments would be subject to the gift limits. (See the FPPC fact sheet, Limitations and Restrictions on Gifts, Honoraria, Travel and Loans, at www.fppc.ca.gov.)

Restrictions and Prohibitions

The Political Reform Act (Gov. Code Sections 81000-91014) requires most state and local government officials and employees to publicly disclose their economic interests including personal assets and income. The Act's conflict of interest provisions also disqualify a public official from taking part in a governmental decision if it is reasonably foreseeable that the decision will have a material financial effect on these economic interests as well as the official's personal finances and those of immediate family. (Gov. Code Sections 87100 and 87103.) The Fair Political Practices Commission (FPPC) is the state agency responsible for issuing the attached Statement of Economic Interests, Form 700, and for interpreting the Act's provisions.

Gift Prohibition

Gifts received by most state and local officials, employees, and candidates are subject to a limit. In 2023-2024, the gift limit increased to \$590 from a single source during a calendar year.

Additionally, state officials, state candidates, and certain state employees are subject to a \$10 limit per calendar month on gifts from lobbyists and lobbying firms registered with the Secretary of State. See Reference Pamphlet, page 10.

State and local officials and employees should check with their agency to determine if other restrictions apply.

Disqualification

Public officials are, under certain circumstances, required to disqualify themselves from making, participating in, or attempting to influence governmental decisions that will affect their economic interests. This may include interests they are not required to disclose. For example, a personal residence is often not reportable, but may be grounds for disqualification. Specific disqualification requirements apply to 87200 filers (e.g., city councilmembers, members of boards of supervisors, planning commissioners, etc.). These officials must publicly identify the economic interest that creates a conflict of interest and leave the room before a discussion or vote takes place at a public meeting. For more information, consult Government Code Section 87105, Regulation 18707, and the Guide to Recognizing Conflicts of Interest page at www.fppc.ca.gov.

Honorarium Ban

Most state and local officials, employees, and candidates are prohibited from accepting an honorarium for any speech given, article published, or attendance at a conference, convention, meeting, or like gathering. (See Reference Pamphlet, page 10.)

Loan Restrictions

Certain state and local officials are subject to restrictions on loans. (See Reference Pamphlet, page 14.)

Post-Governmental Employment

There are restrictions on representing clients or employers before former agencies. The provisions apply to elected state officials, most state employees, local elected officials, county chief administrative officers, city managers, including the chief administrator of a city, and general managers or chief administrators of local special districts and JPAs. The FPPC website has fact sheets explaining the provisions.

Late Filing

The filing officer who retains originally-signed or electronically filed statements of economic interests may impose on an individual a fine for any statement that is filed late. The fine is \$10 per day up to a maximum of \$100. Late filing penalties may be reduced or waived under certain circumstances.

Persons who fail to timely file their Form 700 may be referred to the FPPC's Enforcement Division (and, in some cases, to the Attorney General or district attorney) for investigation and possible prosecution. In addition to the late filing penalties, a fine of up to \$5,000 per violation may be imposed.

For assistance concerning reporting, prohibitions, and restrictions under the Act:

- Email questions to advice@fppc.ca.gov.
- Call the FPPC toll-free at (866) 275-3772.

Form 700 is a Public Document Public Access Must Be Provided

Statements of Economic Interests are public documents. The filing officer must permit any member of the public to inspect and receive a copy of any statement.

- Statements must be available as soon as possible during the agency's regular business hours, but in any event not later than the second business day after the statement is received. Access to the Form 700 is not subject to the Public Records Act procedures.
- No conditions may be placed on persons seeking access to the forms.
- No information or identification may be required from persons seeking access.
- Reproduction fees of no more than 10 cents per page may be charged.

Questions and Answers

General

- Q. What is the reporting period for disclosing interests on an assuming office statement or a candidate statement?
- A. On an assuming office statement, disclose all reportable investments, interests in real property, and business positions held on the date you assumed office. In addition, you must disclose income (including loans, gifts and travel payments) received during the 12 months prior to the date you assumed office.

On a candidate statement, disclose all reportable investments, interests in real property, and business positions held on the date you file your declaration of candidacy. You must also disclose income (including loans, gifts and travel payments) received during the 12 months prior to the date you file your declaration of candidacy.

- Q. I hold two other board positions in addition to my position with the county. Must I file three statements of economic interests?
- A. Yes, three are required. However, you may instead complete an expanded statement listing the county and the two boards on the Cover Page or an attachment as the agencies for which you will be filing. Disclose all reportable economic interests in all three jurisdictions on the expanded statement. File the expanded statement for your primary position providing an original “wet” signature unless filed with a secure electronic signature. (See page 3 above.) File copies of the expanded statement with the other two agencies as required by Regulation 18723.1(c). Remember to complete separate statements for positions that you leave or assume during the year.
- Q. I am a department head who recently began acting as city manager. Should I file as the city manager?
- A. Yes. File an assuming office statement as city manager. Persons serving as “acting,” “interim,” or “alternate” must file as if they hold the position because they are or may be performing the duties of the position.

- Q. My spouse and I are currently separated and in the process of obtaining a divorce. Must I still report my spouse’s income, investments, and interests in real property?
- A. Yes. A public official must continue to report a spouse’s economic interests until such time as dissolution of marriage proceedings is final. However, if a separate property agreement has been reached prior to that time, your estranged spouse’s income may not have to be reported. Contact the FPPC for more information.
- Q. As a designated employee, I left one state agency to work for another state agency. Must I file a leaving office statement?
- A. Yes. You may also need to file an assuming office statement for the new agency.

Investment Disclosure

- Q. I have an investment interest in shares of stock in a company that does not have an office in my jurisdiction. Must I still disclose my investment interest in this company?
- A. Probably. The definition of “doing business in the jurisdiction” is not limited to whether the business has an office or physical location in your jurisdiction. (See Reference Pamphlet, page 13.)
- Q. My spouse and I have a living trust. The trust holds rental property in my jurisdiction, our primary residence, and investments in diversified mutual funds. I have full disclosure. How is this trust disclosed?
- A. Disclose the name of the trust, the rental property and its income on Schedule A-2. Your primary residence and investments in diversified mutual funds registered with the SEC are not reportable.
- Q. I am required to report all investments. I have an IRA that contains stocks through an account managed by a brokerage firm. Must I disclose these stocks even though they are held in an IRA and I did not decide which stocks to purchase?
- A. Yes. Disclose on Schedule A-1 or A-2 any stock worth \$2,000 or more in a business entity located in or doing business in your jurisdiction.

Questions and Answers Continued

- Q. The value of my stock changed during the reporting period. How do I report the value of the stock?
- A. You are required to report the highest value that the stock reached during the reporting period. You may use your monthly statements to determine the highest value. You may also use the entity's website to determine the highest value. You are encouraged to keep a record of where you found the reported value. Note that for an assuming office statement, you must report the value of the stock on the date you assumed office.
- Q. I am the sole owner of my business, an S-Corporation. I believe that the nature of the business is such that it cannot be said to have any "fair market value" because it has no assets. I operate the corporation under an agreement with a large insurance company. My contract does not have resale value because of its nature as a personal services contract. Must I report the fair market value for my business on Schedule A-2 of the Form 700?
- A. Yes. Even if there are no *tangible* assets, intangible assets, such as relationships with companies and clients are commonly sold to qualified professionals. The "fair market value" is often quantified for other purposes, such as marital dissolutions or estate planning. In addition, the IRS presumes that "personal services corporations" have a fair market value. A professional "book of business" and the associated goodwill that generates income are not without a determinable value. The Form 700 does not require a precise fair market value; it is only necessary to check a box indicating the broad range within which the value falls.
- Q. I own stock in IBM and must report this investment on Schedule A-1. I initially purchased this stock in the early 1990s; however, I am constantly buying and selling shares. Must I note these dates in the "Acquired" and "Disposed" fields?
- A. No. You must only report dates in the "Acquired" or "Disposed" fields when, during the reporting period, you initially purchase a reportable investment worth \$2,000 or more or when you dispose of the entire investment. You are not required to track the partial trading of an investment.
- Q. On last year's filing I reported stock in Encoe valued at \$2,000 - \$10,000. Late last year the value of this stock fell below and remains at less than \$2,000. How should this be reported on this year's statement?
- A. You are not required to report an investment if the value was less than \$2,000 during the **entire** reporting period. However, because a disposed date is not required for stocks that fall below \$2,000, you may want to report the stock and note in the "comments" section that the value fell below \$2,000. This would be for informational purposes only; it is not a requirement.
- Q. We have a Section 529 account set up to save money for our son's college education. Is this reportable?
- A. If the Section 529 account contains reportable interests (e.g., common stock valued at \$2,000 or more), those interests are reportable (not the actual Section 529 account). If the account contains solely mutual funds, then nothing is reported.

Income Disclosure

- Q. I reported a business entity on Schedule A-2. Clients of my business are located in several states. Must I report all clients from whom my pro rata share of income is \$10,000 or more on Schedule A-2, Part 3?
- A. No, only the clients located in or doing business on a regular basis in your jurisdiction must be disclosed.
- Q. I believe I am not required to disclose the names of clients from whom my pro rata share of income is \$10,000 or more on Schedule A-2 because of their right to privacy. Is there an exception for reporting clients' names?
- A. Regulation 18740 provides a procedure for requesting an exemption to allow a client's name not to be disclosed if disclosure of the name would violate a legally recognized privilege under California or Federal law. This regulation may be obtained from our website at www.fppc.ca.gov. (See Reference Pamphlet, page 14.)

Questions and Answers Continued

Q. I am sole owner of a private law practice that is not reportable based on my limited disclosure category. However, some of the sources of income to my law practice are from reportable sources. Do I have to disclose this income?

A. Yes, even though the law practice is not reportable, reportable sources of income to the law practice of \$10,000 or more must be disclosed. This information would be disclosed on Schedule C with a note in the “comments” section indicating that the business entity is not a reportable investment. The note would be for informational purposes only; it is not a requirement.

Q. I am the sole owner of my business. Where do I disclose my income - on Schedule A-2 or Schedule C?

A. Sources of income to a business in which you have an ownership interest of 10% or greater are disclosed on Schedule A-2. (See Reference Pamphlet, page 8.)

Q. My spouse is a partner in a four-person firm where all of their business is based on their own billings and collections from various clients. How do I report my community property interest in this business and the income generated in this manner?

A. If your spouse's investment in the firm is 10% or greater, disclose 100% of your spouse's share of the business on Schedule A-2, Part 1 and 50% of your spouse's income on Schedule A-2, Parts 2 and 3. For example, a client of your spouse's must be a source of at least \$20,000 during the reporting period before the client's name is reported.

Q. How do I disclose my spouse's or registered domestic partner's salary?

A. Report the name of the employer as a source of income on Schedule C.

Q. I am a doctor. For purposes of reporting \$10,000 sources of income on Schedule A-2, Part 3, are the patients or their insurance carriers considered sources of income?

A. If your patients exercise sufficient control by selecting you instead of other doctors, then your patients, rather than their insurance carriers, are sources of income to you. (See Reference Pamphlet, page 14.)

Q. I received a loan from my grandfather to purchase my home. Is this loan reportable?

A. No. Loans received from family members are not reportable.

Q. Many years ago, I loaned my parents several thousand dollars, which they paid back this year. Do I need to report this loan repayment on my Form 700?

A. No. Payments received on a loan made to a family member are not reportable.

Real Property Disclosure

Q. During this reporting period we switched our principal place of residence into a rental. I have full disclosure and the property is located in my agency's jurisdiction, so it is now reportable. Because I have not reported this property before, do I need to show an “acquired” date?

A. No, you are not required to show an “acquired” date because you previously owned the property. However, you may want to note in the “comments” section that the property was not previously reported because it was used exclusively as your residence. This would be for informational purposes only; it is not a requirement.

Q. I am a city manager, and I own a rental property located in an adjacent city, but one mile from the city limit. Do I need to report this property interest?

A. Yes. You are required to report this property because it is located within 2 miles of the boundaries of the city you manage.

Q. Must I report a home that I own as a personal residence for my daughter?

A. You are not required to disclose a home used as a personal residence for a family member unless you receive income from it, such as rental income.

Q. I am a co-signer on a loan for a rental property owned by a friend. Since I am listed on the deed of trust, do I need to report my friend's property as an interest in real property on my Form 700?

A. No. Simply being a co-signer on a loan for property does not create a reportable interest in that real property.

Questions and Answers Continued

Gift Disclosure

- Q. If I received a reportable gift of two tickets to a concert valued at \$100 each, but gave the tickets to a friend because I could not attend the concert, do I have any reporting obligations?
- A. Yes. Since you accepted the gift and exercised discretion and control of the use of the tickets, you must disclose the gift on Schedule D.
- Q. Julia and Jared Benson, a married couple, want to give a piece of artwork to a county supervisor. Is each spouse considered a separate source for purposes of the gift limit and disclosure?
- A. Yes, each spouse may make a gift valued at the gift limit during a calendar year. For example, during 2023 the gift limit was \$590, so the Bensons may have given the supervisor artwork valued at no more than \$1,080. The supervisor must identify Jared and Julia Benson as the sources of the gift.
- Q. I am a Form 700 filer with full disclosure. Our agency holds a holiday raffle to raise funds for a local charity. I bought \$10 worth of raffle tickets and won a gift basket valued at \$120. The gift basket was donated by Doug Brewer, a citizen in our city. At the same event, I bought raffle tickets for, and won a quilt valued at \$70. The quilt was donated by a coworker. Are these reportable gifts?
- A. Because the gift basket was donated by an outside source (not an agency employee), you have received a reportable gift valued at \$110 (the value of the basket less the consideration paid). The source of the gift is Doug Brewer and the agency is disclosed as the intermediary. Because the quilt was donated by an employee of your agency, it is not a reportable gift.
- Q. My agency is responsible for disbursing grants. An applicant (501(c)(3) organization) met with agency employees to present its application. At this meeting, the applicant provided food and beverages. Would the food and beverages be considered gifts to the employees? These employees are designated in our agency's conflict of interest code and the applicant is a reportable source of income under the code.
- A. Yes. If the value of the food and beverages consumed by any one filer, plus any other gifts received from the same source during the reporting period total \$50 or more, the food and beverages would be reported using the fair market value and would be subject to the gift limit.
- Q. I received free admission to an educational conference related to my official duties. Part of the conference fees included a round of golf. Is the value of the golf considered informational material?
- A. No. The value of personal benefits, such as golf, attendance at a concert, or sporting event, are gifts subject to reporting and limits.

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2023/2024 Form 700 Statement of Economic Interests



Reference Pamphlet

California Fair Political Practices Commission

1102 Q Street, Suite 3050 • Sacramento, CA 95811

Email advice: advice@fppc.ca.gov

Toll-free advice line: 1 (866) ASK-FPPC • (866) 275-3772

Telephone: (916) 322-5660 • Website: www.fppc.ca.gov

December 2023

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Who Must File

1. Officials and Candidates Specified in Gov. Code Section 87200 and Members of Boards and Commissions of Newly Created Agencies

The Act requires the following individuals to fully disclose their personal assets and income described in Form 700, Statement of Economic Interests:

State Offices

- Governor
- Lieutenant Governor
- Attorney General
- Controller
- Insurance Commissioner
- Secretary of State
- Treasurer
- Members of the State Legislature
- Superintendent of Public Instruction
- State Board of Equalization Members
- Public Utilities Commissioners
- State Energy Resources Conservation and Development Commissioners
- State Coastal Commissioners
- Fair Political Practices Commissioners
- State public officials (including employees and consultants) who manage public investments
- Elected members of and candidates for the Board of Administration of the California Public Employees' Retirement System
- Elected members of and candidates for the Teachers' Retirement Board
- Members of the High Speed Rail Authority

Other officials and employees of state boards, commissions, agencies, and departments file Form 700 as described in Part 2 on this page.

Judicial Offices

- Supreme, Appellate, and Superior Court Judges
- Court Commissioners
- Retired Judges, Pro-Tem Judges, and part-time Court Commissioners who serve or expect to serve 30 days or more in a calendar year

County and City Offices

- Members of Boards of Supervisors
- Mayors and Members of City Councils
- Chief Administrative Officers
- District Attorneys
- County Counsels
- City Attorneys
- City Managers
- Planning Commissioners
- County and City Treasurers
- County and city public officials (including employees and consultants) who manage public investments

Members of Newly Created Boards and Commissions

Generally, such a member must file an assuming office statement within 30 days as well as subsequent statements until the member's position is designated in a conflict of interest code. See Regulation 18754.

2. State and Local Officials, Employees, Candidates, and Consultants Designated in a Conflict of Interest Code ("Code Filers")

The Act requires every state and local government agency to adopt a unique conflict of interest code. The code lists each position within the agency filled by individuals who make or participate in making governmental decisions that could affect their personal economic interests.

The code requires individuals holding those positions to periodically file Form 700 disclosing certain personal economic interests as determined by the code's "disclosure categories." These individuals are called "designated employees" or "code filers."

Obtain your disclosure categories from your agency – they are not contained in the Form 700. Persons with broad decisionmaking authority must disclose more interests than those in positions with limited discretion. For example, you may be required to disclose only investments and business positions in or income (including loans, gifts, and travel payments) from businesses of the type that contract with your agency, or you may not be required to disclose real property interests.

In addition, certain consultants to public agencies may qualify as public officials because they make, participate in making, or act in a staff capacity for governmental decisions. Agencies determine who is a consultant and the level of disclosure and may use Form 805.

Note: An official who holds a position specified in Gov. Code Section 87200 is not required to file statements under the conflict of interest code of any agency that has the same or a smaller jurisdiction (for example, a state legislator who also sits on a state or local board or commission).

Employees in Newly Created Positions of Existing Agencies

An individual hired for a position not yet covered under an agency's conflict of interest code must file Form 700 if the individual serves in a position that makes or participates in making governmental decisions. These individuals must file under the agency's broadest disclosure category until the code is amended to include the new position unless the agency has provided in writing a limited disclosure requirement. The Form 804 may be used to satisfy this requirement.

Types of Form 700 Filings

Assuming Office Statement:

If you are a newly appointed official or are newly employed in a position designated, or that will be designated, in a state or local agency's conflict of interest code, your assuming office date is the date you were sworn in or otherwise authorized to serve in the position. If you are a newly elected official, your assuming office date is the date you were sworn in.

- Report: Investments, interests in real property, and business positions held on the date you assumed the office or position must be reported. In addition, income (including loans, gifts, and travel payments) received during the 12 months prior to the date you assumed the office or position.

For positions subject to confirmation by the State Senate or the Commission on Judicial Appointments, your assuming office date is the date you were appointed or nominated to the position.

- Example: Maria Lopez was nominated by the Governor to serve on a state agency board that is subject to state Senate confirmation. The assuming office date is the date Maria's nomination is submitted to the Senate. Maria must report investments, interests in real property, and business positions she holds on that date, and income (including loans, gifts, and travel payments) received during the 12 months prior to that date.

If your office or position has been added to a newly adopted or newly amended conflict of interest code, use the effective date of the code or amendment, whichever is applicable.

- Report: Investments, interests in real property, and business positions held on the effective date of the code or amendment must be reported. In addition, income (including loans, gifts, and travel payments) received during the 12 months prior to the effective date of the code or amendment.

Annual Statement:

Generally, the period covered is January 1, 2023, through December 31, 2023. If the period covered by the statement is different than January 1, 2023, through December 31, 2023, (for example, you assumed office between October 1, 2022, and December 31, 2022 or you are combining statements), you must specify the period covered.

- Investments, interests in real property, business positions held, and income (including loans, gifts, and travel payments) received during the period covered by the statement must be reported. Do not change the preprinted dates on Schedules A-1, A-2, and B unless you are required to report the acquisition or disposition of an interest that did not occur in 2023.

- If your disclosure category changes during a reporting period, disclose under the old category until the effective date of the conflict of interest code amendment and disclose under the new disclosure category through the end of the reporting period.

Leaving Office Statement:

Generally, the period covered is January 1, 2023, through the date you stopped performing the duties of your position. If the period covered differs from January 1, 2023, through the date you stopped performing the duties of your position (for example, you assumed office between October 1, 2022, and December 31, 2022, or you are combining statements), the period covered must be specified. The reporting period can cover parts of two calendar years.

- Report: Investments, interests in real property, business positions held, and income (including loans, gifts, and travel payments) received during the period covered by the statement. Do not change the preprinted dates on Schedules A-1, A-2, and B unless you are required to report the acquisition or disposition of an interest that did not occur in 2023.

Candidate Statement:

If you are filing a statement in connection with your candidacy for state or local office, investments, interests in real property, and business positions held on the date of filing your declaration of candidacy must be reported. In addition, income (including loans, gifts, and travel payments) received during the 12 months prior to the date of filing your declaration of candidacy is reportable. Do not change the preprinted dates on Schedules A-1, A-2, and B.

Candidates running for local elective offices (e.g., county sheriffs, city clerks, school board trustees, or water district board members) must file candidate statements, as required by the conflict of interest code for the elected position. The code may be obtained from the agency of the elected position.

Amendments:

If you discover errors or omissions on any statement, file an amendment as soon as possible. You are only required to amend the schedule that needs to be revised; it is not necessary to refile the entire form. The amended schedule(s) is attached to your original filed statement. Obtain amendment schedules from the FPPC website at www.fppc.ca.gov.

Where to File

1. Officials Specified in Gov. Code Section 87200 (See Reference Pamphlet, page 3):

In most cases, the filing officials listed below will retain a copy of your statement and forward the original to the FPPC.

Filers	Where to File
87200 Filers	
State offices	Your agency
Judicial offices	The clerk of your court
Retired Judges	Directly with FPPC
County offices	Your county filing official
City offices	Your city clerk
Multi-County offices	Your agency
87200 Candidates	
State offices	County elections official with whom you file your declaration of candidacy
Judicial offices	
Multi-County offices	
County offices	County elections official
City offices	City Clerk
Public Employees' Retirement System (CalPERS)	CalPERS
State Teachers' Retirement Board (CalSTRS)	CalSTRS

Note: Individuals that invest public funds for a city or county agency must file Form 700 with the agency. Unlike most other 87200 filers, the original statement will **not** be forwarded to the FPPC pursuant to Regulation 18753.

2. Code Filers — State and Local Officials, Employees, Candidates, and Consultants Designated in a Conflict of Interest Code:

File with your agency, board, or commission unless otherwise specified in your agency's conflict of interest code. In most cases, the agency, board, or commission will retain the statements.

Candidates for local elective offices designated in a conflict of interest code file with the elections office where the declaration of candidacy or other nomination documents are filed.

3. Members of Newly Created Boards and Commissions:

File with your agency or with your agency's code reviewing body. See Regulation 18754.

State Senate and Assembly staff members file statements directly with the FPPC.

Exceptions:

- Elected state officers are not required to file statements under any agency's conflict of interest code.
- Filers listed in Section 87200 are not required to file statements under any agency's conflict of interest code in the same jurisdiction. For example, a county supervisor who is appointed to serve in an agency with jurisdiction in the same county has no additional filing obligations.

4. Positions Not Yet Covered Under a Conflict of Interest Code

An individual hired for a position not yet covered under an agency's conflict of interest code must file Form 700 if the individual serves in a position that makes or participates in making governmental decisions. These individuals must file under the broadest disclosure category until the code is amended to include the new position unless the agency has provided in writing a limited disclosure requirement. Agencies may use FPPC Form 804 for this disclosure. Such individuals are referred to as "code filers." See Regulation 18734.

When to File

Assuming Office Statements:

Filer	Deadline
Elected officials	30 days after assuming office
Appointed positions specified in Gov. Code Section 87200 or Members of newly created boards and commissions not covered by a conflict of interest code	30 days after assuming office or 10 days after appointment or nomination if subject to Senate or judicial confirmation
Other appointed positions (including those held by newly-hired employees) that are or will be designated in a conflict of interest code	30 days after assuming office (30 days after appointment or nomination if subject to Senate confirmation)
Positions newly added to a new or amended conflict of interest code	30 days after the effective date of the code or code amendment

Exceptions:

- Elected state officers who assume office in December or January are not required to file an assuming office statement, but will file the next annual statement due.
- If you complete a term of office and, within 30 days, begin a new term of the same office (for example, you are reelected or reappointed), you are not required to file an assuming office statement. Instead, you will simply file the next annual statement due.
- If you leave an office specified in Gov. Code Section 87200 and, within 45 days, you assume another office or position specified in Section 87200 that has the same jurisdiction (for example, a city planning commissioner elected as mayor), you are not required to file an assuming office statement. Instead, you will simply file the next annual statement due.
- If you transfer from one designated position to another designated position within the same agency, contact your filing officer or the FPPC to determine your filing obligations.
- If a due date falls on a weekend or an official state holiday, the due date is the next regular business day.

Late statements are subject to a late fine of \$10 per day per position up to \$100 for each day the statement is late.

Annual Statements:

1. Elected state officers (including members of the state legislature, members elected to the Board of Administration of the California Public Employees' Retirement System and members elected to the Teachers' Retirement Board); Judges and court commissioners; and Members of state boards and commissions specified in Gov. Code Section 87200:
File no later than **Friday, March 1, 2024.**
2. County and city officials specified in Gov. Code Section 87200:
File no later than **Tuesday, April 2, 2024.**
3. Multi-County officials:
File no later than **Tuesday, April 2, 2024.**
4. State and local officials and employees designated in a conflict of interest code:
File on the date prescribed in the code (April 2 for most filers).

Exception:

If you assumed office between October 1, 2023, and December 31, 2023, and filed an assuming office statement, you are not required to file an annual statement until March 1, 2025, or April 1, 2025, whichever is applicable. The annual statement will cover the day you assumed office through December 31, 2024.

Incumbent officeholders who file candidate statements also must file annual statements by the specified deadlines.

When to File - (continued)

Leaving Office Statements:

Leaving office statements must be filed no later than 30 days after leaving the office or position.

Exceptions:

- If you complete a term of office and, within 30 days, begin a new term of the same office (for example, you are reelected or reappointed), you are not required to file a leaving office statement. Instead, you will simply file the next annual statement due.
- If you leave an office specified in Gov. Code Section 87200 and, within 45 days, you assume another office or position specified in Section 87200 that has the same jurisdiction (for example, a city planning commissioner elected as mayor), you are not required to file a leaving office statement. Instead, you will simply file the next annual statement due.
- If you transfer from one designated position to another designated position within the same agency, contact your filing officer or the FPPC to determine your filing obligations.

Candidate Statements:

All candidates (including incumbents) for offices specified in Gov. Code Section 87200 must file statements no later than the final filing date for their declaration of candidacy.

Candidates seeking a position designated in a conflict of interest code must file no later than the final filing date for the declaration of candidacy or other nomination documents.

Exception:

A candidate statement is not required if you filed an assuming office or annual statement for the same jurisdiction **within 60 days** before filing a declaration of candidacy or other nomination documents.

Late Statements:

Late statements should be submitted as soon as possible after the filing deadline, in the same manner and place as a timely filed statement.

The filing officer who retains originally-signed or electronically filed statements of economic interests may impose on an individual a fine for any statement that is filed late. The fine is \$10 per day up to a maximum of \$100. Late filing penalties may be reduced or waived under certain circumstances.

Persons who fail to timely file their Form 700 may be referred to the FPPC's Enforcement Division (and, in some cases, to the Attorney General or District Attorney) for investigation and possible prosecution. In addition to the late filing penalties from the filing officer, a fine of up to \$5,000 per violation may be imposed.

Terms & Definitions

The instructions located on the back of each schedule describe the types of interests that must be reported. The purpose of this section is to explain other terms used in Form 700 that are not defined in the instructions to the schedules or elsewhere.

Blind Trust: See Trusts, Reference Pamphlet, page 16.

Business Entity: Any organization or enterprise operated for profit, including a proprietorship, partnership, firm, business trust, joint venture, syndicate, corporation, or association. This would include a business for which you take business deductions for tax purposes (for example, a small business operated in your home). When reporting a business entity on the Form 700, do not use acronyms for the name of entity, unless it is one that is commonly understood by the public.

Code Filer: An individual who has been designated in a state or local agency's conflict of interest code to file statements of economic interests.

An individual hired on or after January 1, 2023 for a position not yet covered under an agency's conflict of interest code must file Form 700 if the individual serves in a position that makes or participates in making governmental decisions. These individuals must file under the broadest disclosure category until the code is amended to include the new position unless the agency has provided in writing a limited disclosure requirement. Agencies may use FPPC Form 804 for such disclosure. See Regulation 18734.

Commission Income: "Commission income" means gross payments of \$500 or more received during the period covered by the statement as a broker, agent, or salesperson, including insurance brokers or agents, real estate brokers or agents, travel agents or salespersons, stockbrokers, and retail or wholesale salespersons, among others.

In addition, you may be required to disclose the names of sources of commission income if your pro rata share of the gross income was \$10,000 or more from a single source during the reporting period. If your spouse or registered domestic partner received commission income, you would disclose your community property share (50%) of that income (that is, the names of sources of \$20,000 or more in gross commission income received by your spouse or registered domestic partner).

Report commission income as follows:

- If the income was received through a business entity in which you and your spouse or registered domestic partner had a 10% or greater ownership interest (or if you receive commission income on a regular basis as an independent contractor or agent), use Schedule A-2.

- If the income was received through a business entity in which you or your spouse or registered domestic partner did not receive commission income on a regular basis or you had a less than 10% ownership interest, use Schedule C.

The "source" of commission income generally includes all parties to a transaction, and each is attributed the full value of the commission.

Examples:

- You are a partner in Jameson and Mulligan Insurance Company and have a 50% ownership interest in the company. You sold two American Insurance Company policies to XYZ Company during the reporting period. You received commission income of \$5,000 from the first transaction and \$6,000 from the second. On Schedule A-2, report your partnership interest in and income received from Jameson and Mulligan Insurance Company in Parts 1 and 2. In Part 3, list both American Insurance Company and XYZ Company as sources of \$10,000 or more in commission income.
- You are a stockbroker for Prince Investments, but you have no ownership interest in the firm. You receive commission income on a regular basis through the sale of stock to clients. Your total gross income from your employment with Prince Investments was over \$100,000 during the reporting period. On Schedule A-2, report your name as the name of the business entity in Part 1 and the gross income you have received in Part 2. (Because you are an employee of Prince Investments, you do not need to complete the information in the box in Part 1 indicating the general description of business activity, fair market value, or nature of investment.) In Part 3, list Prince Investments and the names of any clients who were sources of \$10,000 or more in commission income to you.
- You are a real estate agent and an independent contractor under Super Realty. On Schedule A-2, Part 1, in addition to your name or business name, complete the business entity description box. In Part 2, identify your gross income. In Part 3, for each transaction that resulted in commission income to you of \$10,000 or more, you must identify the brokerage entity, each person you represented, and any person who received a finder's or other referral fee for referring a party to the transaction to the broker.

Note: If your pro rata share of commission income from a single source is \$500 or more, you may be required to disqualify yourself from decisions affecting that source of income, even though you are not required to report the income. (See *Reference Pamphlet, page 12.*)

Terms & Definitions - (continued)

Conflict of Interest: A public official or employee has a conflict of interest under the Act when all of the following occur:

- The official makes, participates in making, or uses their official position to influence a governmental decision;
- It is reasonably foreseeable that the decision will affect the official's economic interest;
- The effect of the decision on the official's economic interest will be material; and
- The effect of the decision on the official's economic interest will be different than its effect on the public generally.

Conflict of Interest Code: The Act requires every state and local government agency to adopt a conflict of interest code. The code may be contained in a regulation, policy statement, or a city or county ordinance, resolution, or other document.

An agency's conflict of interest code must designate all officials and employees of, and consultants to, the agency who make or participate in making governmental decisions that could cause conflicts of interest. These individuals are required by the code to file statements of economic interests and to disqualify themselves when conflicts of interest occur.

The disclosure required under a conflict of interest code for a particular designated official or employee should include only the kinds of personal economic interests they could significantly affect through the exercise of their official duties. For example, an employee whose duties are limited to reviewing contracts for supplies, equipment, materials, or services provided to the agency should be required to report only those interests they hold that are likely to be affected by the agency's contracts for supplies, equipment, materials, or services.

Consultant: An individual who contracts with or whose employer contracts with state or local government agencies and who makes, participates in making, or acts in a staff capacity for making governmental decisions. The agency determines who is a consultant. Consultants may be required to file Form 700. Such consultants would file under full disclosure unless the agency provides in writing a limited disclosure requirement. Agencies may use FPPC Form 805 to assign such disclosure. The obligation to file Form 700 is always imposed on the individual who is providing services to the agency, not on the business or firm that employs the individual.

FPPC Regulation 18700.3 defines "consultant" as an individual who makes a governmental decision whether to:

- Approve a rate, rule, or regulation
- Adopt or enforce a law

- Issue, deny, suspend, or revoke any permit, license, application, certificate, approval, order, or similar authorization or entitlement
- Authorize the agency to enter into, modify, or renew a contract provided it is the type of contract that requires agency approval
- Grant agency approval to a contract that requires agency approval and to which the agency is a party, or to the specifications for such a contract
- Grant agency approval to a plan, design, report, study, or similar item
- Adopt, or grant agency approval of, policies, standards, or guidelines for the agency or for any of its subdivisions

A consultant also is an individual who serves in a staff capacity with the agency and:

- participates in making a governmental decision; or
- performs the same or substantially all the same duties for the agency that would otherwise be performed by an individual holding a position specified in the agency's conflict of interest code.

Designated Employee: An official or employee of a state or local government agency whose position has been designated in the agency's conflict of interest code to file statements of economic interests or whose position has not yet been listed in the code but makes or participates in making governmental decisions. Individuals who contract with government agencies (consultants) may also be designated in a conflict of interest code.

A federal officer or employee serving in an official federal capacity on a state or local government agency is not a designated employee.

Digital Signature: Under the Act and Commission regulations, the Form 700s may be filed with a "digital signature," which may be used to sign documents electronically, if permitted by the filing officer. A digital signature is a type of certificate-based electronic signature that offers increased security to ensure the identity of the signer and prevent the alteration of documents after signing. For more information on how to use a digital signature, please refer to the Filing with a Digital Signature Fact Sheet on the FPPC's website.

For filing officers required to forward original statements filed via digital signature to the FPPC, the filing officer must verify the signature on the statement, and forward the statement via email to the FPPC at Form700@fppc.ca.gov. Do not mail the FPPC a copy of a Form 700 with a digital signature affixed.

Terms & Definitions - (continued)

Disclosure Categories: The section of an agency's conflict of interest code that specifies the types of personal economic interests officials and employees of the agency must disclose on their statements of economic interests. Disclosure categories are usually contained in an appendix or attachment to the conflict of interest code. Contact your agency to obtain a copy of your disclosure categories.

Diversified Mutual Fund: Diversified portfolios of stocks, bonds, or money market instruments that are managed by investment companies whose business is pooling the money of many individuals and investing it to seek a common investment goal. Mutual funds are managed by trained professionals who buy and sell securities. A typical mutual fund will own between 75 to 100 separate securities at any given time so they also provide instant diversification. *Only diversified mutual funds registered with the Securities and Exchange Commission under the Investment Company Act of 1940 are exempt from disclosure.* In addition, Regulation 18237 provides an exception from reporting other funds that are similar to diversified mutual funds. (See Reference Pamphlet, page 13.)

Elected State Officer: Elected state officers include the Governor, Lieutenant Governor, Attorney General, Insurance Commissioner, State Controller, Secretary of State, State Treasurer, Superintendent of Public Instruction, members of the State Legislature, members of the State Board of Equalization, elected members of the Board of Administration of the California Public Employees' Retirement System and members elected to the Teachers' Retirement Board.

Enforcement: The FPPC investigates suspected violations of the Act. Other law enforcement agencies (the Attorney General or district attorney) also may initiate investigations under certain circumstances. If violations are found, the Commission may initiate administrative enforcement proceedings that could result in fines of up to \$5,000 per violation.

Instead of administrative prosecution, a civil action may be brought for negligent or intentional violations by the appropriate civil prosecutor (the Commission, Attorney General, or district attorney), or a private party residing within the jurisdiction. In civil actions, the measure of damages is up to the amount or value not properly reported.

Persons who violate the conflict of interest disclosure provisions of the Act also may be subject to agency discipline, including dismissal.

Finally, a knowing or willful violation of any provision of the Act is a misdemeanor. Persons convicted of a misdemeanor may be disqualified for four years from the date of the conviction from serving as a lobbyist or running for elective office, in addition to other penalties that may

be imposed. The Act also provides for numerous civil penalties, including monetary penalties and damages, and injunctive relief from the courts.

Expanded Statement: In some circumstances, an official or an employee who holds multiple positions subject to filing obligations (for example, a city council member who also holds a designated position with a county agency, board, or commission) may complete one expanded statement for all those positions. The expanded statement must disclose all reportable interests for all jurisdictions and list all positions for which it is filed. The rules and processes governing the filing of an expanded statement are set forth in Regulation 18723.1.

Fair Market Value: When reporting the value of an investment, interest in real property, or gift, you must disclose the fair market value – the price at which the item would sell for on the open market. This is particularly important when valuing gifts, because the fair market value of a gift may be different from the amount it cost the donor to provide the gift. For example, the wholesale cost of a bouquet of flowers may be \$10, but the fair market value may be \$25 or more. In addition, there are special rules for valuing free tickets and passes. Call or email the FPPC for assistance.

Gift and Honoraria Prohibitions

Gifts:

State and local officials who are listed in Gov. Code Section 87200 (except judges – see below), candidates for these elective offices (including judicial candidates), and officials and employees of state and local government agencies who are designated in a conflict of interest code were prohibited from accepting a gift or gifts totaling more than \$590 in a calendar year from a single source in 2023-2024.

In addition, elected state officers, candidates for elective state offices, and officials and employees of state agencies are subject to a \$10 per calendar month limit on gifts from lobbyists and lobbying firms registered with the Secretary of State.

Terms & Definitions - (continued)

Honoraria:

State and local officials who are listed in Gov. Code Section 87200 (except judges – see below), candidates for these elective offices (including judicial candidates), and employees of state and local government agencies who are designated in a conflict of interest code are prohibited from accepting honoraria for any speech given, article published, or attendance at any public or private conference, convention, meeting, social event, meal, or like gathering.

Exceptions:

- Some gifts are not reportable or subject to the gift and honoraria prohibitions, and other gifts may not be subject to the prohibitions, but are reportable. For detailed information, see the FPPC fact sheet entitled “Limitations and Restrictions on Gifts, Honoraria, Travel, and Loans,” which can be obtained from your filing officer or the FPPC website (www.fppc.ca.gov).
- The gift limit and the honorarium prohibitions do not apply to a part-time member of the governing board of a public institution of higher education, unless the member is also an elected official.
- If you are designated in a state or local government agency’s conflict of interest code, the gift limit and honorarium prohibition are applicable only to sources you would otherwise be required to report on your statement of economic interests. However, this exception is not applicable if you also hold a position listed in Gov. Code Section 87200 (See Reference Pamphlet, page 3.)
- For state agency officials and employees, the \$10 lobbyist/lobbying firm gift limit is applicable only to lobbyists and lobbying firms registered to lobby your agency. This exception is not applicable if you are an elected state officer or a member or employee of the State Legislature.
- Payments for articles published as part of the practice of a bona fide business, trade, or profession, such as teaching, are not considered honoraria. A payment for an “article published” that is customarily provided in connection with teaching includes text book royalties and payments for academic tenure review letters. An official is presumed to be engaged in the bona fide profession of teaching if they are employed to teach at an accredited university.

Judges:

Section 170.9 of the Code of Civil Procedure imposes gift limits on judges and prohibits judges from accepting any honorarium. Section 170.9 is enforced by the Commission on Judicial Performance. The FPPC has no authority to interpret or enforce the Code of Civil Procedure. Court commissioners are subject to the gift limit under the Political Reform Act.

Income Reporting: Reporting income under the Act is different than reporting income for tax purposes. The Act requires **gross** income (the amount received before deducting losses, expenses, or taxes, as well as income reinvested in a business entity) to be reported.

Pro Rata Share: The instructions for reporting income refer to your pro rata share of the income received. Your pro rata share is normally based on your ownership interest in the entity or property. For example, if you are a sole proprietor, you must disclose 100% of the gross income to the business entity on Schedule A-2. If you own 25% of a piece of rental property, you must report 25% of the gross rental income received. When reporting your community property interest in your spouse’s or registered domestic partner’s income, your pro rata share is 50% of their income. You must also report the name of your spouse’s or registered domestic partner’s employer as the source of income, not the name of spouse or registered domestic partner.

Separate Property Agreement: Generally, a public official is required to disclose their community property share of their spouse’s income. But, when a public official and their spouse have a legally separate property agreement (e.g., prenuptial agreement), the official is not required to report the spouse’s community property share of income, unless the funds are commingled with community funds or used to pay for community expenses or to produce or enhance the separate income of the official.

Note: This reporting exception does not apply to investments and interests in real property. Even if a public official and their spouse have a separate property agreement, the spouse’s investments and interests in real property must still be disclosed because the definitions of reportable investments and interests in real property include those held by the official’s immediate family (spouse, registered domestic partner, and dependent children). These definitions are not dependent on community property law.

Income to a Business Entity: When you are required to report sources of income to a business entity, sources of rental income, or sources of commission income, you are only required to disclose individual sources of income of \$10,000 or more. However, you may be required to **disqualify** yourself from decisions affecting sources of \$500 or more in income, even though you are not required to report them.

Examples:

- Alice Ruiz is a partner in a business entity. Alice has a 25% interest. On Schedule A-2, Alice must disclose 25% of the fair market value of the business entity; 25% of the gross income to the business entity (even though all of the income received was reinvested in

Terms & Definitions - (continued)

the business and Alice did not personally receive any income from the business); and the name of each source of \$40,000 or more to the business.

- Pat and Mark Johnson, a married couple, own Classic Autos. Income to this business was \$200,000. In determining the amount to report for income on Schedule A-2, Part 2, Mark must include Mark's 50% share (\$100,000) and 50% of Mark's spouse's share (\$50,000). Thus, Mark's reportable income would be \$150,000 and Mark will check the box indicating \$100,001-\$1,000,000. (See Reference Pamphlet, page 13, for an example of how to calculate the value of this investment and interest in real property.)
- Renee Smith is an employee of a private company. Renee's employer offers the option of receiving a stipend in lieu of healthcare insurance provided by the employer. Since Renee Smith receives payments from their employer instead of healthcare insurance, Renee is required to report the gross income from the stipend payments. Renee would aggregate and report the total gross income received from both their stipend and salary on Schedule C.

You are not required to report:

- Salary, reimbursement for expenses or per diem, social security, disability, or other similar benefit payments received by you or your spouse or registered domestic partner from a federal, state, or local government agency
- A travel payment that was received from a nonprofit entity exempt from taxation under Internal Revenue Code Section 501(c)(3) for which you provided equal or greater consideration, such as reimbursement for travel on business for a 501(c)(3) organization for which you are a board member.
- Campaign contributions
- A cash bequest or cash inheritance
- Returns on a security registered with the Securities and Exchange Commission, including dividends, interest, or proceeds from a sale of stocks or bonds unless the purchaser can be identified.
- Redemption of a mutual fund
- Payments received under an insurance policy, such as life insurance policy payments, including an annuity
- Interest, dividends, or premiums on a time or demand deposit in a financial institution, shares in a credit union, an insurance policy, or a bond or other debt instrument issued by a government agency
- Your spouse's or registered domestic partner's income that is legally "separate" income so long as the funds are not commingled with community funds or used to pay community expenses
- Income of dependent children

- Automobile trade-in allowances from dealers
- Loans and loan repayments received from your spouse or registered domestic partner, child, parent, grandparent, grandchild, brother, sister, parent-in-law, brother-in-law, sister-in-law, nephew, niece, aunt, uncle, or first cousin unless they were acting as an intermediary or agent for any person not covered by this provision
- Alimony or child support payments
- Payments received under a defined benefit pension plan qualified under Internal Revenue Code Section 401(a)
- Any loan from a commercial lending institution made in the lender's regular course of business on terms available to the public without regard to your official status
- Any retail installment or credit card debts incurred in the creditor's regular course of business on terms available to the public without regard to your official status
- Loans made to others. However, repayments may be reportable on Schedule C
- A loan you co-signed for another person unless you made payments on the loan during the reporting period

Incentive Compensation: "Incentive compensation" means income over and above salary that is either ongoing or cumulative, or both, as sales or purchases of goods or services accumulate. Incentive compensation is calculated by a predetermined formula set by the official's employer which correlates to the conduct of the purchaser in direct response to the effort of the official.

Incentive compensation does not include:

- Salary
- Commission income (*For information regarding disclosure of "commission income," see Reference Pamphlet, page 8.*)
- Bonuses for activity not related to sales or marketing, the amount of which is based solely on merit or hours worked over and above a predetermined minimum
- Executive incentive plans based on company performance, provided that the formula for determining the amount of the executive's incentive income does not include a correlation between that amount and increased profits derived from increased business with specific and identifiable clients or customers of the company
- Payments for personal services which are not marketing or sales

Terms & Definitions - (continued)

The purchaser is a source of income to the official if all three of the following apply:

- the official's employment responsibilities include directing sales or marketing activity toward the purchaser; and
- there is direct personal contact between the official and the purchaser intended by the official to generate sales or business; and
- there is a direct relationship between the purchasing activity of the purchaser and the amount of the incentive compensation received by the official.

Report incentive compensation as follows:

- In addition to salary, reimbursement of expenses, and other income received from your employer, separately report on Schedule C the name of each person who purchased products or services sold, marketed or represented by you if you received incentive compensation of \$500 or more attributable to the purchaser during the period covered by the statement.
- If incentive compensation is paid by your employer in a lump sum, without allocation of amounts to specific customers, you must determine the amount of incentive compensation attributable to each of your customers. This may be based on the volume of sales to those customers.

(See Regulations 18700.1 and 18728.5 for more information.)

Investment Funds: The term "investment" no longer includes certain exchange traded funds, closed-end funds, or funds held in an Internal Revenue Code qualified plan. These non-reportable investment funds (1) must be bona fide investment funds that pool money from more than 100 investors, (2) must hold securities of more than 15 issuers, and (3) cannot have a stated policy of concentrating their holdings in the same industry or business ("sector funds"). In addition, the filer may not influence or control the decision to purchase or sell the specific fund on behalf of their agency during the reporting period or influence or control the selection of any specific investment purchased or sold by the fund. (See Regulation 18237.)

Investments and Interests in Real Property: When disclosing investments on Schedules A-1 or A-2 and interests in real property on Schedules A-2 or B, you must include investments and interests in real property held by your spouse or registered domestic partner, and those held by your dependent children, as if you held them directly.

Examples:

- Julia Pearson, spouse, and two dependent children each own \$600 in stock in General Motors. Because the total value of their holdings is \$2,400, Julia must disclose the stock as an investment on Schedule A-1.

- Pat and Mark Johnson, a married couple, jointly own Classic Autos. Mark must disclose Classic Autos as an investment on Schedule A-2. To determine the reportable value of the investment, Mark will aggregate the value of each of their 50% interest. Thus, if the total value of the business entity is \$150,000, Mark will check the box \$100,001 - \$1,000,000 in Part 1 of Schedule A-2. (Also see Reference Pamphlet, page 12, for an example of how to calculate reportable income.)

The Johnsons also own the property where Classic Autos is located. To determine the reportable value of the real property, Mark will again aggregate the value of each of their 50% interest to determine the amount to report in Part 4 of Schedule A-2.

- Katie Lee rents out a room in their home. Katie receives \$6,000 a year in rental income. Katie will report the fair market value of the rental portion of the residence and the income received on Schedule B.

Jurisdiction: Report disclosable investments and sources of income (including loans, gifts, and travel payments) that are either located in or doing business in your agency's jurisdiction, are planning to do business in your agency's jurisdiction, or have done business during the previous two years in your agency's jurisdiction, and interests in real property located in your agency's jurisdiction.

A business entity is doing business in your agency's jurisdiction if the entity has business contacts on a regular or substantial basis with a person who maintains a physical presence in your jurisdiction.

Business contacts include, but are not limited to, manufacturing, distributing, selling, purchasing, or providing services or goods. Business contacts do not include marketing via the Internet, telephone, television, radio, or printed media.

The same criteria are used to determine whether an individual, organization, or other entity is doing business in your jurisdiction.

Exception:

Gifts are reportable regardless of the location of the donor. For example, a state agency official with full disclosure must report gifts from sources located outside of California. (Designated employees/code filers should consult their [disclosure categories](#) to determine if the donor of a gift is of the type that must be disclosed.)

When reporting interests in real property, if your jurisdiction is the state, you must disclose real property located within the state of California unless your agency's conflict of interest code specifies otherwise.

Terms & Definitions - (continued)

For local agencies, an interest in real property is located in your jurisdiction if any part of the property is located in, or within two miles of, the region, city, county, district, or other geographical area in which the agency has jurisdiction, or if the property is located within two miles of any land owned or used by the agency.

See the following explanations to determine what your jurisdiction is:

State Offices and All Courts: Your jurisdiction is the state if you are an elected state officer, a state legislator, or a candidate for one of these offices. Judges, judicial candidates, and court commissioners also have statewide jurisdiction. (*In re Baty* (1979) 5 FPPC Ops. 10) If you are an official or employee of, or a consultant to, a state board, commission, or agency, or of any court or the State Legislature, your jurisdiction is the state.

County Offices: Your jurisdiction is the county if you are an elected county officer, a candidate for county office, or if you are an official or employee of, or a consultant to, a county agency or any agency with jurisdiction solely within a single county.

City Offices: Your jurisdiction is the city if you are an elected city officer, a candidate for city office, or you are an official or employee of, or a consultant to, a city agency or any agency with jurisdiction solely within a single city.

Multi-County Offices: If you are an elected officer, candidate, official or employee of, or a consultant to a multi-county agency, your jurisdiction is the region, district, or other geographical area in which the agency has jurisdiction. (Example: A water district has jurisdiction in a portion of two counties. Members of the board are only required to report interests located or doing business in that portion of each county in which the agency has jurisdiction.)

Other (for example, school districts, special districts and JPAs): If you are an elected officer, candidate, official or employee of, or a consultant to an agency not covered above, your jurisdiction is the region, district, or other geographical area in which the agency has jurisdiction. See the multi-county example above.

Leasehold Interest: The term “interest in real property” includes leasehold interests. An interest in a lease on real property is reportable if the value of the leasehold interest is \$2,000 or more. The value of the interest is the total amount of rent owed by you during the reporting period or, for a candidate or assuming office statement, during the prior 12 months.

You are not required to disclose a leasehold interest with a value of less than \$2,000 or a month-to-month tenancy.

Loan Reporting: Filers are not required to report loans from commercial lending institutions or any indebtedness created as part of retail installment or credit card transactions that are made in the lender’s regular course of business, without regard to official status, on terms available to members of the public.

Loan Restrictions: State and local elected and appointed public officials are prohibited from receiving any personal loan totaling more than \$250 from an official, employee, or consultant of their government agencies or any government agency over which the official or the official’s agency has direction or control. In addition, loans of more than \$250 from any person who has a contract with the official’s agency or an agency under the official’s control are prohibited unless the loan is from a commercial lending institution or part of a retail installment or credit card transaction made in the regular course of business on terms available to members of the public.

State and local elected officials are also prohibited from receiving any personal loan of \$500 or more unless the loan agreement is in writing and clearly states the terms of the loan, including the parties to the loan agreement, the date, amount, and term of the loan, the date or dates when payments are due, the amount of the payments, and the interest rate on the loan.

Campaign loans and loans from family members are not subject to the \$250 and \$500 loan prohibitions.

A personal loan made to a public official that is not being repaid or is being repaid below certain amounts will become a gift to the official under certain circumstances. Contact the FPPC for further information, or see the FPPC fact sheet entitled “Limitations and Restrictions on Gifts, Honoraria, Travel, and Loans,” which can be obtained from your filing officer or the FPPC website (www.fppc.ca.gov).

Original Statement: A statement containing either a handwritten “wet” signature or a “secure electronic signature” signed under the penalty of perjury and verified by the filer pursuant to Gov. Code Section 81004. A “secure electronic signature” means either (1) a signature submitted using an approved electronic filing system or (2) if permitted by the filing officer, a digital signature submitted via the filer’s agency email address. (See Regulations 18104 and 18757.)

Privileged Information: FPPC Regulation 18740 sets out specific procedures that must be followed in order to withhold the name of a source of income. Under this regulation, you are not required to disclose on Schedule A-2, Part 3, the name of a person who paid fees or made payments to a business entity if disclosure of the name would violate a legally recognized privilege under California

Terms & Definitions - (continued)

or Federal law. However, you must provide an explanation for nondisclosure, separately stating for each undisclosed person: the legal basis for the assertion of the privilege, facts demonstrating why the privilege is applicable, and that to the best of your knowledge you have not and will not make, participate in making, or use your official position to influence a governmental decision affecting the undisclosed person in violation of Government Code Section 87100. This explanation may be included with, or attached to, the public official's Form 700.

We note that the name of a source of income is privileged only to a limited extent under California law. For example, a name is protected by attorney-client privilege only when facts concerning an attorney's representation of an anonymous client are not publicly known and those facts, when coupled with disclosure of the client's identity, might expose the client to an official investigation or to civil or criminal liability. A patient's name is protected by physician-patient privilege only when disclosure of the patient's name would also reveal the nature of the treatment received by the patient. A patient's name is also protected if the disclosure of the patient's name would constitute a violation by an entity covered under the Federal Health Insurance Portability and Accountability Act (also known as HIPAA).

Public Officials Who Manage Public Investments:

Individuals who invest public funds in revenue-producing programs must file Form 700. This includes individuals who direct or approve investment transactions, formulate or approve investment policies, and establish guidelines for asset allocations. FPPC Regulation 18700.3 defines "public officials who manage public investments" to include the following:

- Members of boards and commissions, including pension and retirement boards or commissions, and committees thereof, who exercise responsibility for the management of public investments;
- High-level officers and employees of public agencies who exercise primary responsibility for the management of public investments (for example, chief or principal investment officers or chief financial managers); and
- Individuals who, pursuant to a contract with a state or local government agency, perform the same or substantially all the same functions described above.

Registered Domestic Partners: Filers must report investments and interests in real property held by, and sources of income to, registered domestic partners. (See Regulation 18229.)

Retirement Accounts (for example, deferred compensation and individual retirement accounts (IRAs)): Assets held in retirement accounts must be disclosed if the assets are reportable items, such as

common stock (investments) or real estate (interests in real property). For help in determining whether your investments and real property are reportable, see the instructions to Schedules A-1, A-2, and B.

If your retirement account holds reportable assets, disclose only the assets held in the account, not the account itself. You may have to contact your account manager to determine the assets contained in your account.

Schedule A-1: Report any business entity in which the value of your investment interest was \$2,000 or more during the reporting period. (Use Schedule A-2 if you have a 10% or greater ownership interest in the business entity.)

Schedule B: Report any piece of real property in which the value of your interest was \$2,000 or more during the reporting period.

Examples:

- Anaya Tiwari deposits \$500 per month into the employer's deferred compensation program. Anaya has chosen to purchase shares in two diversified mutual funds registered with the Securities and Exchange Commission. Because Anaya's funds are invested solely in non-reportable mutual funds (see Schedule A-1 instructions), Anaya has no disclosure requirements with regard to the deferred compensation program.
- Earl James Jones has \$6,000 in an individual retirement account with an investment firm. The account contains stock in several companies doing business in his jurisdiction. One of the stock holdings, Misac Computers, reached a value of \$2,500 during the reporting period. The value of the investment in each of the other companies was less than \$2,000. Earl must report Misac Computers as an investment on Schedule A-1 because the value of the stock in that company was \$2,000 or more.
- Adriane Fisher has \$5,000 in a retirement fund that invests in real property located in Adriane's jurisdiction. The value of Adriane's interest in each piece of real property held in the fund was less than \$2,000 during the reporting period. Although this retirement fund holds reportable assets, there is no disclosure requirement because it did not have a \$2,000 or greater interest in any single piece of real property. If, in the future, the value of Adriane's interest in a single piece of real property reaches or exceeds \$2,000, it will be required to be disclosed on Schedule B for that reporting period.

Terms & Definitions - (continued)

Trusts: Investments and interests in real property held and income received by a trust (including a living trust) are reported on Schedule A-2 if you, your spouse or registered domestic partner, and your dependent children together had a 10% or greater interest in the trust and your pro rata share of a single investment or interest in real property was \$2,000 or more.

You have an interest in a trust if you are a trustor and:

- Can revoke or terminate the trust;
- Have retained or reserved any rights to the income or principal of the trust or retained any reversionary or remainder interest; or
- Have retained any power of appointment, including the power to change the trustee or the beneficiaries.

Or you are a beneficiary and:

- Presently receive income (see Gov. Code Section 82030); or
- Have an irrevocable future right to receive income or principal. (See FPPC Regulation 18234 for more information.)

Examples:

- Sarah Murphy has set up a living trust that holds Sarah's principal residence, stock in several companies that do business in the jurisdiction, and a rental home in the agency's jurisdiction. Since Sarah is the trustor and can revoke or terminate the trust, Sarah must disclose any stock worth \$2,000 or more and the rental home on Schedule A-2. Sarah's residence is not reportable because it is used exclusively as a personal residence.
- Chao Yee is listed as a beneficiary in a family's trust. However, Chao does not presently receive income from the trust, nor an irrevocable future right to receive income or principal. Therefore, Chao is not required to disclose any assets contained in the family trust.

Blind Trusts:

A blind trust is a trust managed by a disinterested trustee who has complete discretion to purchase and sell assets held by the trust. If you have a direct, indirect, or beneficial interest in a blind trust, you may not be required to disclose your pro rata share of the trust's assets or income.

However, the trust must meet the standards set out in FPPC Regulation 18235, and you must disclose reportable assets originally transferred into the blind trust and income from those original assets on Schedule A-2 until they have been disposed of by the trustee.

Trustees:

If you are only a trustee, you do not have a reportable interest in the trust. However, you may be required to report the income you received from the trust for performing trustee services.

Wedding Gifts: Wedding gifts must be disclosed if they were received from a reportable source during the period covered by the statement. Gifts valued at \$50 or more are reportable; however, a wedding gift is considered a gift to both spouses equally. Therefore, you would count one-half of the value of a wedding gift to determine if it is reportable and need only report individual gifts with a total value of \$100 or more.

For example, you receive a place setting of china valued at \$150 from a reportable source as a wedding gift. Because the value to you is \$50 or more, you must report the gift on Schedule D, but may state its value as \$75.

Wedding gifts are not subject to the \$590 gift limit (\$590 in 2023-2024), but they are subject to the \$10 lobbyist/lobbying firm gift limit for state officials.

Privacy Information Notice

Information requested on all FPPC forms is used by the FPPC to administer and enforce the Political Reform Act (Gov. Code Sections 81000-91014 and California Code of Regulations Sections 18110-18997). All information required by these forms is mandated by the Political Reform Act. Failure to provide all of the information required by the Act is a violation subject to administrative, criminal, or civil prosecution. All reports and statements provided are public records open for public inspection and reproduction.

If you have any questions regarding this Privacy Notice or how to access your personal information, please contact the FPPC at:

General Counsel
Fair Political Practices Commission
1102 Q Street, Suite 3050
Sacramento, CA 95811
(916) 322-5660
(866) 275-3772

2023/2024 Form 700 Statement of Economic Interests



Reference Pamphlet

California Fair Political Practices Commission

1102 Q Street, Suite 3050 • Sacramento, CA 95811

Email advice: advice@fppc.ca.gov

Toll-free advice line: 1 (866) ASK-FPPC • (866) 275-3772

Telephone: (916) 322-5660 • Website: www.fppc.ca.gov

December 2023

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Who Must File

1. Officials and Candidates Specified in Gov. Code Section 87200 and Members of Boards and Commissions of Newly Created Agencies

The Act requires the following individuals to fully disclose their personal assets and income described in Form 700, Statement of Economic Interests:

State Offices

- Governor
- Lieutenant Governor
- Attorney General
- Controller
- Insurance Commissioner
- Secretary of State
- Treasurer
- Members of the State Legislature
- Superintendent of Public Instruction
- State Board of Equalization Members
- Public Utilities Commissioners
- State Energy Resources Conservation and Development Commissioners
- State Coastal Commissioners
- Fair Political Practices Commissioners
- State public officials (including employees and consultants) who manage public investments
- Elected members of and candidates for the Board of Administration of the California Public Employees' Retirement System
- Elected members of and candidates for the Teachers' Retirement Board
- Members of the High Speed Rail Authority

Other officials and employees of state boards, commissions, agencies, and departments file Form 700 as described in Part 2 on this page.

Judicial Offices

- Supreme, Appellate, and Superior Court Judges
- Court Commissioners
- Retired Judges, Pro-Tem Judges, and part-time Court Commissioners who serve or expect to serve 30 days or more in a calendar year

County and City Offices

- Members of Boards of Supervisors
- Mayors and Members of City Councils
- Chief Administrative Officers
- District Attorneys
- County Counsels
- City Attorneys
- City Managers
- Planning Commissioners
- County and City Treasurers
- County and city public officials (including employees and consultants) who manage public investments

Members of Newly Created Boards and Commissions

Generally, such a member must file an assuming office statement within 30 days as well as subsequent statements until the member's position is designated in a conflict of interest code. See Regulation 18754.

2. State and Local Officials, Employees, Candidates, and Consultants Designated in a Conflict of Interest Code ("Code Filers")

The Act requires every state and local government agency to adopt a unique conflict of interest code. The code lists each position within the agency filled by individuals who make or participate in making governmental decisions that could affect their personal economic interests.

The code requires individuals holding those positions to periodically file Form 700 disclosing certain personal economic interests as determined by the code's "disclosure categories." These individuals are called "designated employees" or "code filers."

Obtain your disclosure categories from your agency – they are not contained in the Form 700. Persons with broad decisionmaking authority must disclose more interests than those in positions with limited discretion. For example, you may be required to disclose only investments and business positions in or income (including loans, gifts, and travel payments) from businesses of the type that contract with your agency, or you may not be required to disclose real property interests.

In addition, certain consultants to public agencies may qualify as public officials because they make, participate in making, or act in a staff capacity for governmental decisions. Agencies determine who is a consultant and the level of disclosure and may use Form 805.

Note: An official who holds a position specified in Gov. Code Section 87200 is not required to file statements under the conflict of interest code of any agency that has the same or a smaller jurisdiction (for example, a state legislator who also sits on a state or local board or commission).

Employees in Newly Created Positions of Existing Agencies

An individual hired for a position not yet covered under an agency's conflict of interest code must file Form 700 if the individual serves in a position that makes or participates in making governmental decisions. These individuals must file under the agency's broadest disclosure category until the code is amended to include the new position unless the agency has provided in writing a limited disclosure requirement. The Form 804 may be used to satisfy this requirement.

Types of Form 700 Filings

Assuming Office Statement:

If you are a newly appointed official or are newly employed in a position designated, or that will be designated, in a state or local agency's conflict of interest code, your assuming office date is the date you were sworn in or otherwise authorized to serve in the position. If you are a newly elected official, your assuming office date is the date you were sworn in.

- Report: Investments, interests in real property, and business positions held on the date you assumed the office or position must be reported. In addition, income (including loans, gifts, and travel payments) received during the 12 months prior to the date you assumed the office or position.

For positions subject to confirmation by the State Senate or the Commission on Judicial Appointments, your assuming office date is the date you were appointed or nominated to the position.

- Example: Maria Lopez was nominated by the Governor to serve on a state agency board that is subject to state Senate confirmation. The assuming office date is the date Maria's nomination is submitted to the Senate. Maria must report investments, interests in real property, and business positions she holds on that date, and income (including loans, gifts, and travel payments) received during the 12 months prior to that date.

If your office or position has been added to a newly adopted or newly amended conflict of interest code, use the effective date of the code or amendment, whichever is applicable.

- Report: Investments, interests in real property, and business positions held on the effective date of the code or amendment must be reported. In addition, income (including loans, gifts, and travel payments) received during the 12 months prior to the effective date of the code or amendment.

Annual Statement:

Generally, the period covered is January 1, 2023, through December 31, 2023. If the period covered by the statement is different than January 1, 2023, through December 31, 2023, (for example, you assumed office between October 1, 2022, and December 31, 2022 or you are combining statements), you must specify the period covered.

- Investments, interests in real property, business positions held, and income (including loans, gifts, and travel payments) received during the period covered by the statement must be reported. Do not change the preprinted dates on Schedules A-1, A-2, and B unless you are required to report the acquisition or disposition of an interest that did not occur in 2023.

- If your disclosure category changes during a reporting period, disclose under the old category until the effective date of the conflict of interest code amendment and disclose under the new disclosure category through the end of the reporting period.

Leaving Office Statement:

Generally, the period covered is January 1, 2023, through the date you stopped performing the duties of your position. If the period covered differs from January 1, 2023, through the date you stopped performing the duties of your position (for example, you assumed office between October 1, 2022, and December 31, 2022, or you are combining statements), the period covered must be specified. The reporting period can cover parts of two calendar years.

- Report: Investments, interests in real property, business positions held, and income (including loans, gifts, and travel payments) received during the period covered by the statement. Do not change the preprinted dates on Schedules A-1, A-2, and B unless you are required to report the acquisition or disposition of an interest that did not occur in 2023.

Candidate Statement:

If you are filing a statement in connection with your candidacy for state or local office, investments, interests in real property, and business positions held on the date of filing your declaration of candidacy must be reported. In addition, income (including loans, gifts, and travel payments) received during the 12 months prior to the date of filing your declaration of candidacy is reportable. Do not change the preprinted dates on Schedules A-1, A-2, and B.

Candidates running for local elective offices (e.g., county sheriffs, city clerks, school board trustees, or water district board members) must file candidate statements, as required by the conflict of interest code for the elected position. The code may be obtained from the agency of the elected position.

Amendments:

If you discover errors or omissions on any statement, file an amendment as soon as possible. You are only required to amend the schedule that needs to be revised; it is not necessary to refile the entire form. The amended schedule(s) is attached to your original filed statement. Obtain amendment schedules from the FPPC website at www.fppc.ca.gov.

Where to File

1. Officials Specified in Gov. Code Section 87200 (See Reference Pamphlet, page 3):

In most cases, the filing officials listed below will retain a copy of your statement and forward the original to the FPPC.

Filers	Where to File
87200 Filers	
State offices	Your agency
Judicial offices	The clerk of your court
Retired Judges	Directly with FPPC
County offices	Your county filing official
City offices	Your city clerk
Multi-County offices	Your agency
87200 Candidates	
State offices	County elections official with whom you file your declaration of candidacy
Judicial offices	
Multi-County offices	
County offices	County elections official
City offices	City Clerk
Public Employees' Retirement System (CalPERS)	CalPERS
State Teachers' Retirement Board (CalSTRS)	CalSTRS

Note: Individuals that invest public funds for a city or county agency must file Form 700 with the agency. Unlike most other 87200 filers, the original statement will **not** be forwarded to the FPPC pursuant to Regulation 18753.

2. Code Filers — State and Local Officials, Employees, Candidates, and Consultants Designated in a Conflict of Interest Code:

File with your agency, board, or commission unless otherwise specified in your agency's conflict of interest code. In most cases, the agency, board, or commission will retain the statements.

Candidates for local elective offices designated in a conflict of interest code file with the elections office where the declaration of candidacy or other nomination documents are filed.

3. Members of Newly Created Boards and Commissions:

File with your agency or with your agency's code reviewing body. See Regulation 18754.

State Senate and Assembly staff members file statements directly with the FPPC.

Exceptions:

- Elected state officers are not required to file statements under any agency's conflict of interest code.
- Filers listed in Section 87200 are not required to file statements under any agency's conflict of interest code in the same jurisdiction. For example, a county supervisor who is appointed to serve in an agency with jurisdiction in the same county has no additional filing obligations.

4. Positions Not Yet Covered Under a Conflict of Interest Code

An individual hired for a position not yet covered under an agency's conflict of interest code must file Form 700 if the individual serves in a position that makes or participates in making governmental decisions. These individuals must file under the broadest disclosure category until the code is amended to include the new position unless the agency has provided in writing a limited disclosure requirement. Agencies may use FPPC Form 804 for this disclosure. Such individuals are referred to as "code filers." See Regulation 18734.

When to File

Assuming Office Statements:

Filer	Deadline
Elected officials	30 days after assuming office
Appointed positions specified in Gov. Code Section 87200 or Members of newly created boards and commissions not covered by a conflict of interest code	30 days after assuming office or 10 days after appointment or nomination if subject to Senate or judicial confirmation
Other appointed positions (including those held by newly-hired employees) that are or will be designated in a conflict of interest code	30 days after assuming office (30 days after appointment or nomination if subject to Senate confirmation)
Positions newly added to a new or amended conflict of interest code	30 days after the effective date of the code or code amendment

Exceptions:

- Elected state officers who assume office in December or January are not required to file an assuming office statement, but will file the next annual statement due.
- If you complete a term of office and, within 30 days, begin a new term of the same office (for example, you are reelected or reappointed), you are not required to file an assuming office statement. Instead, you will simply file the next annual statement due.
- If you leave an office specified in Gov. Code Section 87200 and, within 45 days, you assume another office or position specified in Section 87200 that has the same jurisdiction (for example, a city planning commissioner elected as mayor), you are not required to file an assuming office statement. Instead, you will simply file the next annual statement due.
- If you transfer from one designated position to another designated position within the same agency, contact your filing officer or the FPPC to determine your filing obligations.
- If a due date falls on a weekend or an official state holiday, the due date is the next regular business day.

Late statements are subject to a late fine of \$10 per day per position up to \$100 for each day the statement is late.

Annual Statements:

1. Elected state officers (including members of the state legislature, members elected to the Board of Administration of the California Public Employees' Retirement System and members elected to the Teachers' Retirement Board); Judges and court commissioners; and Members of state boards and commissions specified in Gov. Code Section 87200:
File no later than **Friday, March 1, 2024.**
2. County and city officials specified in Gov. Code Section 87200:
File no later than **Tuesday, April 2, 2024.**
3. Multi-County officials:
File no later than **Tuesday, April 2, 2024.**
4. State and local officials and employees designated in a conflict of interest code:
File on the date prescribed in the code (April 2 for most filers).

Exception:

If you assumed office between October 1, 2023, and December 31, 2023, and filed an assuming office statement, you are not required to file an annual statement until March 1, 2025, or April 1, 2025, whichever is applicable. The annual statement will cover the day you assumed office through December 31, 2024.

Incumbent officeholders who file candidate statements also must file annual statements by the specified deadlines.

When to File - (continued)

Leaving Office Statements:

Leaving office statements must be filed no later than 30 days after leaving the office or position.

Exceptions:

- If you complete a term of office and, within 30 days, begin a new term of the same office (for example, you are reelected or reappointed), you are not required to file a leaving office statement. Instead, you will simply file the next annual statement due.
- If you leave an office specified in Gov. Code Section 87200 and, within 45 days, you assume another office or position specified in Section 87200 that has the same jurisdiction (for example, a city planning commissioner elected as mayor), you are not required to file a leaving office statement. Instead, you will simply file the next annual statement due.
- If you transfer from one designated position to another designated position within the same agency, contact your filing officer or the FPPC to determine your filing obligations.

Candidate Statements:

All candidates (including incumbents) for offices specified in Gov. Code Section 87200 must file statements no later than the final filing date for their declaration of candidacy.

Candidates seeking a position designated in a conflict of interest code must file no later than the final filing date for the declaration of candidacy or other nomination documents.

Exception:

A candidate statement is not required if you filed an assuming office or annual statement for the same jurisdiction **within 60 days** before filing a declaration of candidacy or other nomination documents.

Late Statements:

Late statements should be submitted as soon as possible after the filing deadline, in the same manner and place as a timely filed statement.

The filing officer who retains originally-signed or electronically filed statements of economic interests may impose on an individual a fine for any statement that is filed late. The fine is \$10 per day up to a maximum of \$100. Late filing penalties may be reduced or waived under certain circumstances.

Persons who fail to timely file their Form 700 may be referred to the FPPC's Enforcement Division (and, in some cases, to the Attorney General or District Attorney) for investigation and possible prosecution. In addition to the late filing penalties from the filing officer, a fine of up to \$5,000 per violation may be imposed.

Terms & Definitions

The instructions located on the back of each schedule describe the types of interests that must be reported. The purpose of this section is to explain other terms used in Form 700 that are not defined in the instructions to the schedules or elsewhere.

Blind Trust: See Trusts, Reference Pamphlet, page 16.

Business Entity: Any organization or enterprise operated for profit, including a proprietorship, partnership, firm, business trust, joint venture, syndicate, corporation, or association. This would include a business for which you take business deductions for tax purposes (for example, a small business operated in your home). When reporting a business entity on the Form 700, do not use acronyms for the name of entity, unless it is one that is commonly understood by the public.

Code Filer: An individual who has been designated in a state or local agency's conflict of interest code to file statements of economic interests.

An individual hired on or after January 1, 2023 for a position not yet covered under an agency's conflict of interest code must file Form 700 if the individual serves in a position that makes or participates in making governmental decisions. These individuals must file under the broadest disclosure category until the code is amended to include the new position unless the agency has provided in writing a limited disclosure requirement. Agencies may use FPPC Form 804 for such disclosure. See Regulation 18734.

Commission Income: "Commission income" means gross payments of \$500 or more received during the period covered by the statement as a broker, agent, or salesperson, including insurance brokers or agents, real estate brokers or agents, travel agents or salespersons, stockbrokers, and retail or wholesale salespersons, among others.

In addition, you may be required to disclose the names of sources of commission income if your pro rata share of the gross income was \$10,000 or more from a single source during the reporting period. If your spouse or registered domestic partner received commission income, you would disclose your community property share (50%) of that income (that is, the names of sources of \$20,000 or more in gross commission income received by your spouse or registered domestic partner).

Report commission income as follows:

- If the income was received through a business entity in which you and your spouse or registered domestic partner had a 10% or greater ownership interest (or if you receive commission income on a regular basis as an independent contractor or agent), use Schedule A-2.

- If the income was received through a business entity in which you or your spouse or registered domestic partner did not receive commission income on a regular basis or you had a less than 10% ownership interest, use Schedule C.

The "source" of commission income generally includes all parties to a transaction, and each is attributed the full value of the commission.

Examples:

- You are a partner in Jameson and Mulligan Insurance Company and have a 50% ownership interest in the company. You sold two American Insurance Company policies to XYZ Company during the reporting period. You received commission income of \$5,000 from the first transaction and \$6,000 from the second. On Schedule A-2, report your partnership interest in and income received from Jameson and Mulligan Insurance Company in Parts 1 and 2. In Part 3, list both American Insurance Company and XYZ Company as sources of \$10,000 or more in commission income.
- You are a stockbroker for Prince Investments, but you have no ownership interest in the firm. You receive commission income on a regular basis through the sale of stock to clients. Your total gross income from your employment with Prince Investments was over \$100,000 during the reporting period. On Schedule A-2, report your name as the name of the business entity in Part 1 and the gross income you have received in Part 2. (Because you are an employee of Prince Investments, you do not need to complete the information in the box in Part 1 indicating the general description of business activity, fair market value, or nature of investment.) In Part 3, list Prince Investments and the names of any clients who were sources of \$10,000 or more in commission income to you.
- You are a real estate agent and an independent contractor under Super Realty. On Schedule A-2, Part 1, in addition to your name or business name, complete the business entity description box. In Part 2, identify your gross income. In Part 3, for each transaction that resulted in commission income to you of \$10,000 or more, you must identify the brokerage entity, each person you represented, and any person who received a finder's or other referral fee for referring a party to the transaction to the broker.

Note: If your pro rata share of commission income from a single source is \$500 or more, you may be required to disqualify yourself from decisions affecting that source of income, even though you are not required to report the income. (See *Reference Pamphlet, page 12.*)

Terms & Definitions - (continued)

Conflict of Interest: A public official or employee has a conflict of interest under the Act when all of the following occur:

- The official makes, participates in making, or uses their official position to influence a governmental decision;
- It is reasonably foreseeable that the decision will affect the official's economic interest;
- The effect of the decision on the official's economic interest will be material; and
- The effect of the decision on the official's economic interest will be different than its effect on the public generally.

Conflict of Interest Code: The Act requires every state and local government agency to adopt a conflict of interest code. The code may be contained in a regulation, policy statement, or a city or county ordinance, resolution, or other document.

An agency's conflict of interest code must designate all officials and employees of, and consultants to, the agency who make or participate in making governmental decisions that could cause conflicts of interest. These individuals are required by the code to file statements of economic interests and to disqualify themselves when conflicts of interest occur.

The disclosure required under a conflict of interest code for a particular designated official or employee should include only the kinds of personal economic interests they could significantly affect through the exercise of their official duties. For example, an employee whose duties are limited to reviewing contracts for supplies, equipment, materials, or services provided to the agency should be required to report only those interests they hold that are likely to be affected by the agency's contracts for supplies, equipment, materials, or services.

Consultant: An individual who contracts with or whose employer contracts with state or local government agencies and who makes, participates in making, or acts in a staff capacity for making governmental decisions. The agency determines who is a consultant. Consultants may be required to file Form 700. Such consultants would file under full disclosure unless the agency provides in writing a limited disclosure requirement. Agencies may use FPPC Form 805 to assign such disclosure. The obligation to file Form 700 is always imposed on the individual who is providing services to the agency, not on the business or firm that employs the individual.

FPPC Regulation 18700.3 defines "consultant" as an individual who makes a governmental decision whether to:

- Approve a rate, rule, or regulation
- Adopt or enforce a law

- Issue, deny, suspend, or revoke any permit, license, application, certificate, approval, order, or similar authorization or entitlement
- Authorize the agency to enter into, modify, or renew a contract provided it is the type of contract that requires agency approval
- Grant agency approval to a contract that requires agency approval and to which the agency is a party, or to the specifications for such a contract
- Grant agency approval to a plan, design, report, study, or similar item
- Adopt, or grant agency approval of, policies, standards, or guidelines for the agency or for any of its subdivisions

A consultant also is an individual who serves in a staff capacity with the agency and:

- participates in making a governmental decision; or
- performs the same or substantially all the same duties for the agency that would otherwise be performed by an individual holding a position specified in the agency's conflict of interest code.

Designated Employee: An official or employee of a state or local government agency whose position has been designated in the agency's conflict of interest code to file statements of economic interests or whose position has not yet been listed in the code but makes or participates in making governmental decisions. Individuals who contract with government agencies (consultants) may also be designated in a conflict of interest code.

A federal officer or employee serving in an official federal capacity on a state or local government agency is not a designated employee.

Digital Signature: Under the Act and Commission regulations, the Form 700s may be filed with a "digital signature," which may be used to sign documents electronically, if permitted by the filing officer. A digital signature is a type of certificate-based electronic signature that offers increased security to ensure the identity of the signer and prevent the alteration of documents after signing. For more information on how to use a digital signature, please refer to the Filing with a Digital Signature Fact Sheet on the FPPC's website.

For filing officers required to forward original statements filed via digital signature to the FPPC, the filing officer must verify the signature on the statement, and forward the statement via email to the FPPC at Form700@fppc.ca.gov. Do not mail the FPPC a copy of a Form 700 with a digital signature affixed.

Terms & Definitions - (continued)

Disclosure Categories: The section of an agency's conflict of interest code that specifies the types of personal economic interests officials and employees of the agency must disclose on their statements of economic interests. Disclosure categories are usually contained in an appendix or attachment to the conflict of interest code. Contact your agency to obtain a copy of your disclosure categories.

Diversified Mutual Fund: Diversified portfolios of stocks, bonds, or money market instruments that are managed by investment companies whose business is pooling the money of many individuals and investing it to seek a common investment goal. Mutual funds are managed by trained professionals who buy and sell securities. A typical mutual fund will own between 75 to 100 separate securities at any given time so they also provide instant diversification. *Only diversified mutual funds registered with the Securities and Exchange Commission under the Investment Company Act of 1940 are exempt from disclosure.* In addition, Regulation 18237 provides an exception from reporting other funds that are similar to diversified mutual funds. (See Reference Pamphlet, page 13.)

Elected State Officer: Elected state officers include the Governor, Lieutenant Governor, Attorney General, Insurance Commissioner, State Controller, Secretary of State, State Treasurer, Superintendent of Public Instruction, members of the State Legislature, members of the State Board of Equalization, elected members of the Board of Administration of the California Public Employees' Retirement System and members elected to the Teachers' Retirement Board.

Enforcement: The FPPC investigates suspected violations of the Act. Other law enforcement agencies (the Attorney General or district attorney) also may initiate investigations under certain circumstances. If violations are found, the Commission may initiate administrative enforcement proceedings that could result in fines of up to \$5,000 per violation.

Instead of administrative prosecution, a civil action may be brought for negligent or intentional violations by the appropriate civil prosecutor (the Commission, Attorney General, or district attorney), or a private party residing within the jurisdiction. In civil actions, the measure of damages is up to the amount or value not properly reported.

Persons who violate the conflict of interest disclosure provisions of the Act also may be subject to agency discipline, including dismissal.

Finally, a knowing or willful violation of any provision of the Act is a misdemeanor. Persons convicted of a misdemeanor may be disqualified for four years from the date of the conviction from serving as a lobbyist or running for elective office, in addition to other penalties that may

be imposed. The Act also provides for numerous civil penalties, including monetary penalties and damages, and injunctive relief from the courts.

Expanded Statement: In some circumstances, an official or an employee who holds multiple positions subject to filing obligations (for example, a city council member who also holds a designated position with a county agency, board, or commission) may complete one expanded statement for all those positions. The expanded statement must disclose all reportable interests for all jurisdictions and list all positions for which it is filed. The rules and processes governing the filing of an expanded statement are set forth in Regulation 18723.1.

Fair Market Value: When reporting the value of an investment, interest in real property, or gift, you must disclose the fair market value – the price at which the item would sell for on the open market. This is particularly important when valuing gifts, because the fair market value of a gift may be different from the amount it cost the donor to provide the gift. For example, the wholesale cost of a bouquet of flowers may be \$10, but the fair market value may be \$25 or more. In addition, there are special rules for valuing free tickets and passes. Call or email the FPPC for assistance.

Gift and Honoraria Prohibitions

Gifts:

State and local officials who are listed in Gov. Code Section 87200 (except judges – see below), candidates for these elective offices (including judicial candidates), and officials and employees of state and local government agencies who are designated in a conflict of interest code were prohibited from accepting a gift or gifts totaling more than \$590 in a calendar year from a single source in 2023-2024.

In addition, elected state officers, candidates for elective state offices, and officials and employees of state agencies are subject to a \$10 per calendar month limit on gifts from lobbyists and lobbying firms registered with the Secretary of State.

Terms & Definitions - (continued)

Honoraria:

State and local officials who are listed in Gov. Code Section 87200 (except judges – see below), candidates for these elective offices (including judicial candidates), and employees of state and local government agencies who are designated in a conflict of interest code are prohibited from accepting honoraria for any speech given, article published, or attendance at any public or private conference, convention, meeting, social event, meal, or like gathering.

Exceptions:

- Some gifts are not reportable or subject to the gift and honoraria prohibitions, and other gifts may not be subject to the prohibitions, but are reportable. For detailed information, see the FPPC fact sheet entitled “Limitations and Restrictions on Gifts, Honoraria, Travel, and Loans,” which can be obtained from your filing officer or the FPPC website (www.fppc.ca.gov).
- The gift limit and the honorarium prohibitions do not apply to a part-time member of the governing board of a public institution of higher education, unless the member is also an elected official.
- If you are designated in a state or local government agency’s conflict of interest code, the gift limit and honorarium prohibition are applicable only to sources you would otherwise be required to report on your statement of economic interests. However, this exception is not applicable if you also hold a position listed in Gov. Code Section 87200 (See Reference Pamphlet, page 3.)
- For state agency officials and employees, the \$10 lobbyist/lobbying firm gift limit is applicable only to lobbyists and lobbying firms registered to lobby your agency. This exception is not applicable if you are an elected state officer or a member or employee of the State Legislature.
- Payments for articles published as part of the practice of a bona fide business, trade, or profession, such as teaching, are not considered honoraria. A payment for an “article published” that is customarily provided in connection with teaching includes text book royalties and payments for academic tenure review letters. An official is presumed to be engaged in the bona fide profession of teaching if they are employed to teach at an accredited university.

Judges:

Section 170.9 of the Code of Civil Procedure imposes gift limits on judges and prohibits judges from accepting any honorarium. Section 170.9 is enforced by the Commission on Judicial Performance. The FPPC has no authority to interpret or enforce the Code of Civil Procedure. Court commissioners are subject to the gift limit under the Political Reform Act.

Income Reporting: Reporting income under the Act is different than reporting income for tax purposes. The Act requires **gross** income (the amount received before deducting losses, expenses, or taxes, as well as income reinvested in a business entity) to be reported.

Pro Rata Share: The instructions for reporting income refer to your pro rata share of the income received. Your pro rata share is normally based on your ownership interest in the entity or property. For example, if you are a sole proprietor, you must disclose 100% of the gross income to the business entity on Schedule A-2. If you own 25% of a piece of rental property, you must report 25% of the gross rental income received. When reporting your community property interest in your spouse’s or registered domestic partner’s income, your pro rata share is 50% of their income. You must also report the name of your spouse’s or registered domestic partner’s employer as the source of income, not the name of spouse or registered domestic partner.

Separate Property Agreement: Generally, a public official is required to disclose their community property share of their spouse’s income. But, when a public official and their spouse have a legally separate property agreement (e.g., prenuptial agreement), the official is not required to report the spouse’s community property share of income, unless the funds are commingled with community funds or used to pay for community expenses or to produce or enhance the separate income of the official.

Note: This reporting exception does not apply to investments and interests in real property. Even if a public official and their spouse have a separate property agreement, the spouse’s investments and interests in real property must still be disclosed because the definitions of reportable investments and interests in real property include those held by the official’s immediate family (spouse, registered domestic partner, and dependent children). These definitions are not dependent on community property law.

Income to a Business Entity: When you are required to report sources of income to a business entity, sources of rental income, or sources of commission income, you are only required to disclose individual sources of income of \$10,000 or more. However, you may be required to **disqualify** yourself from decisions affecting sources of \$500 or more in income, even though you are not required to report them.

Examples:

- Alice Ruiz is a partner in a business entity. Alice has a 25% interest. On Schedule A-2, Alice must disclose 25% of the fair market value of the business entity; 25% of the gross income to the business entity (even though all of the income received was reinvested in

Terms & Definitions - (continued)

the business and Alice did not personally receive any income from the business); and the name of each source of \$40,000 or more to the business.

- Pat and Mark Johnson, a married couple, own Classic Autos. Income to this business was \$200,000. In determining the amount to report for income on Schedule A-2, Part 2, Mark must include Mark's 50% share (\$100,000) and 50% of Mark's spouse's share (\$50,000). Thus, Mark's reportable income would be \$150,000 and Mark will check the box indicating \$100,001-\$1,000,000. (See Reference Pamphlet, page 13, for an example of how to calculate the value of this investment and interest in real property.)
- Renee Smith is an employee of a private company. Renee's employer offers the option of receiving a stipend in lieu of healthcare insurance provided by the employer. Since Renee Smith receives payments from their employer instead of healthcare insurance, Renee is required to report the gross income from the stipend payments. Renee would aggregate and report the total gross income received from both their stipend and salary on Schedule C.

You are not required to report:

- Salary, reimbursement for expenses or per diem, social security, disability, or other similar benefit payments received by you or your spouse or registered domestic partner from a federal, state, or local government agency
- A travel payment that was received from a nonprofit entity exempt from taxation under Internal Revenue Code Section 501(c)(3) for which you provided equal or greater consideration, such as reimbursement for travel on business for a 501(c)(3) organization for which you are a board member.
- Campaign contributions
- A cash bequest or cash inheritance
- Returns on a security registered with the Securities and Exchange Commission, including dividends, interest, or proceeds from a sale of stocks or bonds unless the purchaser can be identified.
- Redemption of a mutual fund
- Payments received under an insurance policy, such as life insurance policy payments, including an annuity
- Interest, dividends, or premiums on a time or demand deposit in a financial institution, shares in a credit union, an insurance policy, or a bond or other debt instrument issued by a government agency
- Your spouse's or registered domestic partner's income that is legally "separate" income so long as the funds are not commingled with community funds or used to pay community expenses
- Income of dependent children

- Automobile trade-in allowances from dealers
- Loans and loan repayments received from your spouse or registered domestic partner, child, parent, grandparent, grandchild, brother, sister, parent-in-law, brother-in-law, sister-in-law, nephew, niece, aunt, uncle, or first cousin unless they were acting as an intermediary or agent for any person not covered by this provision
- Alimony or child support payments
- Payments received under a defined benefit pension plan qualified under Internal Revenue Code Section 401(a)
- Any loan from a commercial lending institution made in the lender's regular course of business on terms available to the public without regard to your official status
- Any retail installment or credit card debts incurred in the creditor's regular course of business on terms available to the public without regard to your official status
- Loans made to others. However, repayments may be reportable on Schedule C
- A loan you co-signed for another person unless you made payments on the loan during the reporting period

Incentive Compensation: "Incentive compensation" means income over and above salary that is either ongoing or cumulative, or both, as sales or purchases of goods or services accumulate. Incentive compensation is calculated by a predetermined formula set by the official's employer which correlates to the conduct of the purchaser in direct response to the effort of the official.

Incentive compensation does not include:

- Salary
- Commission income (*For information regarding disclosure of "commission income," see Reference Pamphlet, page 8.*)
- Bonuses for activity not related to sales or marketing, the amount of which is based solely on merit or hours worked over and above a predetermined minimum
- Executive incentive plans based on company performance, provided that the formula for determining the amount of the executive's incentive income does not include a correlation between that amount and increased profits derived from increased business with specific and identifiable clients or customers of the company
- Payments for personal services which are not marketing or sales

Terms & Definitions - (continued)

The purchaser is a source of income to the official if all three of the following apply:

- the official's employment responsibilities include directing sales or marketing activity toward the purchaser; and
- there is direct personal contact between the official and the purchaser intended by the official to generate sales or business; and
- there is a direct relationship between the purchasing activity of the purchaser and the amount of the incentive compensation received by the official.

Report incentive compensation as follows:

- In addition to salary, reimbursement of expenses, and other income received from your employer, separately report on Schedule C the name of each person who purchased products or services sold, marketed or represented by you if you received incentive compensation of \$500 or more attributable to the purchaser during the period covered by the statement.
- If incentive compensation is paid by your employer in a lump sum, without allocation of amounts to specific customers, you must determine the amount of incentive compensation attributable to each of your customers. This may be based on the volume of sales to those customers.

(See Regulations 18700.1 and 18728.5 for more information.)

Investment Funds: The term "investment" no longer includes certain exchange traded funds, closed-end funds, or funds held in an Internal Revenue Code qualified plan. These non-reportable investment funds (1) must be bona fide investment funds that pool money from more than 100 investors, (2) must hold securities of more than 15 issuers, and (3) cannot have a stated policy of concentrating their holdings in the same industry or business ("sector funds"). In addition, the filer may not influence or control the decision to purchase or sell the specific fund on behalf of their agency during the reporting period or influence or control the selection of any specific investment purchased or sold by the fund. (See Regulation 18237.)

Investments and Interests in Real Property: When disclosing investments on Schedules A-1 or A-2 and interests in real property on Schedules A-2 or B, you must include investments and interests in real property held by your spouse or registered domestic partner, and those held by your dependent children, as if you held them directly.

Examples:

- Julia Pearson, spouse, and two dependent children each own \$600 in stock in General Motors. Because the total value of their holdings is \$2,400, Julia must disclose the stock as an investment on Schedule A-1.

- Pat and Mark Johnson, a married couple, jointly own Classic Autos. Mark must disclose Classic Autos as an investment on Schedule A-2. To determine the reportable value of the investment, Mark will aggregate the value of each of their 50% interest. Thus, if the total value of the business entity is \$150,000, Mark will check the box \$100,001 - \$1,000,000 in Part 1 of Schedule A-2. (Also see Reference Pamphlet, page 12, for an example of how to calculate reportable income.)

The Johnsons also own the property where Classic Autos is located. To determine the reportable value of the real property, Mark will again aggregate the value of each of their 50% interest to determine the amount to report in Part 4 of Schedule A-2.

- Katie Lee rents out a room in their home. Katie receives \$6,000 a year in rental income. Katie will report the fair market value of the rental portion of the residence and the income received on Schedule B.

Jurisdiction: Report disclosable investments and sources of income (including loans, gifts, and travel payments) that are either located in or doing business in your agency's jurisdiction, are planning to do business in your agency's jurisdiction, or have done business during the previous two years in your agency's jurisdiction, and interests in real property located in your agency's jurisdiction.

A business entity is doing business in your agency's jurisdiction if the entity has business contacts on a regular or substantial basis with a person who maintains a physical presence in your jurisdiction.

Business contacts include, but are not limited to, manufacturing, distributing, selling, purchasing, or providing services or goods. Business contacts do not include marketing via the Internet, telephone, television, radio, or printed media.

The same criteria are used to determine whether an individual, organization, or other entity is doing business in your jurisdiction.

Exception:

Gifts are reportable regardless of the location of the donor. For example, a state agency official with full disclosure must report gifts from sources located outside of California. (Designated employees/code filers should consult their [disclosure categories](#) to determine if the donor of a gift is of the type that must be disclosed.)

When reporting interests in real property, if your jurisdiction is the state, you must disclose real property located within the state of California unless your agency's conflict of interest code specifies otherwise.

Terms & Definitions - (continued)

For local agencies, an interest in real property is located in your jurisdiction if any part of the property is located in, or within two miles of, the region, city, county, district, or other geographical area in which the agency has jurisdiction, or if the property is located within two miles of any land owned or used by the agency.

See the following explanations to determine what your jurisdiction is:

State Offices and All Courts: Your jurisdiction is the state if you are an elected state officer, a state legislator, or a candidate for one of these offices. Judges, judicial candidates, and court commissioners also have statewide jurisdiction. (*In re Baty* (1979) 5 FPPC Ops. 10) If you are an official or employee of, or a consultant to, a state board, commission, or agency, or of any court or the State Legislature, your jurisdiction is the state.

County Offices: Your jurisdiction is the county if you are an elected county officer, a candidate for county office, or if you are an official or employee of, or a consultant to, a county agency or any agency with jurisdiction solely within a single county.

City Offices: Your jurisdiction is the city if you are an elected city officer, a candidate for city office, or you are an official or employee of, or a consultant to, a city agency or any agency with jurisdiction solely within a single city.

Multi-County Offices: If you are an elected officer, candidate, official or employee of, or a consultant to a multi-county agency, your jurisdiction is the region, district, or other geographical area in which the agency has jurisdiction. (Example: A water district has jurisdiction in a portion of two counties. Members of the board are only required to report interests located or doing business in that portion of each county in which the agency has jurisdiction.)

Other (for example, school districts, special districts and JPAs): If you are an elected officer, candidate, official or employee of, or a consultant to an agency not covered above, your jurisdiction is the region, district, or other geographical area in which the agency has jurisdiction. See the multi-county example above.

Leasehold Interest: The term “interest in real property” includes leasehold interests. An interest in a lease on real property is reportable if the value of the leasehold interest is \$2,000 or more. The value of the interest is the total amount of rent owed by you during the reporting period or, for a candidate or assuming office statement, during the prior 12 months.

You are not required to disclose a leasehold interest with a value of less than \$2,000 or a month-to-month tenancy.

Loan Reporting: Filers are not required to report loans from commercial lending institutions or any indebtedness created as part of retail installment or credit card transactions that are made in the lender’s regular course of business, without regard to official status, on terms available to members of the public.

Loan Restrictions: State and local elected and appointed public officials are prohibited from receiving any personal loan totaling more than \$250 from an official, employee, or consultant of their government agencies or any government agency over which the official or the official’s agency has direction or control. In addition, loans of more than \$250 from any person who has a contract with the official’s agency or an agency under the official’s control are prohibited unless the loan is from a commercial lending institution or part of a retail installment or credit card transaction made in the regular course of business on terms available to members of the public.

State and local elected officials are also prohibited from receiving any personal loan of \$500 or more unless the loan agreement is in writing and clearly states the terms of the loan, including the parties to the loan agreement, the date, amount, and term of the loan, the date or dates when payments are due, the amount of the payments, and the interest rate on the loan.

Campaign loans and loans from family members are not subject to the \$250 and \$500 loan prohibitions.

A personal loan made to a public official that is not being repaid or is being repaid below certain amounts will become a gift to the official under certain circumstances. Contact the FPPC for further information, or see the FPPC fact sheet entitled “Limitations and Restrictions on Gifts, Honoraria, Travel, and Loans,” which can be obtained from your filing officer or the FPPC website (www.fppc.ca.gov).

Original Statement: A statement containing either a handwritten “wet” signature or a “secure electronic signature” signed under the penalty of perjury and verified by the filer pursuant to Gov. Code Section 81004. A “secure electronic signature” means either (1) a signature submitted using an approved electronic filing system or (2) if permitted by the filing officer, a digital signature submitted via the filer’s agency email address. (See Regulations 18104 and 18757.)

Privileged Information: FPPC Regulation 18740 sets out specific procedures that must be followed in order to withhold the name of a source of income. Under this regulation, you are not required to disclose on Schedule A-2, Part 3, the name of a person who paid fees or made payments to a business entity if disclosure of the name would violate a legally recognized privilege under California

Terms & Definitions - (continued)

or Federal law. However, you must provide an explanation for nondisclosure, separately stating for each undisclosed person: the legal basis for the assertion of the privilege, facts demonstrating why the privilege is applicable, and that to the best of your knowledge you have not and will not make, participate in making, or use your official position to influence a governmental decision affecting the undisclosed person in violation of Government Code Section 87100. This explanation may be included with, or attached to, the public official's Form 700.

We note that the name of a source of income is privileged only to a limited extent under California law. For example, a name is protected by attorney-client privilege only when facts concerning an attorney's representation of an anonymous client are not publicly known and those facts, when coupled with disclosure of the client's identity, might expose the client to an official investigation or to civil or criminal liability. A patient's name is protected by physician-patient privilege only when disclosure of the patient's name would also reveal the nature of the treatment received by the patient. A patient's name is also protected if the disclosure of the patient's name would constitute a violation by an entity covered under the Federal Health Insurance Portability and Accountability Act (also known as HIPAA).

Public Officials Who Manage Public Investments:

Individuals who invest public funds in revenue-producing programs must file Form 700. This includes individuals who direct or approve investment transactions, formulate or approve investment policies, and establish guidelines for asset allocations. FPPC Regulation 18700.3 defines "public officials who manage public investments" to include the following:

- Members of boards and commissions, including pension and retirement boards or commissions, and committees thereof, who exercise responsibility for the management of public investments;
- High-level officers and employees of public agencies who exercise primary responsibility for the management of public investments (for example, chief or principal investment officers or chief financial managers); and
- Individuals who, pursuant to a contract with a state or local government agency, perform the same or substantially all the same functions described above.

Registered Domestic Partners: Filers must report investments and interests in real property held by, and sources of income to, registered domestic partners. (See Regulation 18229.)

Retirement Accounts (for example, deferred compensation and individual retirement accounts (IRAs)): Assets held in retirement accounts must be disclosed if the assets are reportable items, such as

common stock (investments) or real estate (interests in real property). For help in determining whether your investments and real property are reportable, see the instructions to Schedules A-1, A-2, and B.

If your retirement account holds reportable assets, disclose only the assets held in the account, not the account itself. You may have to contact your account manager to determine the assets contained in your account.

Schedule A-1: Report any business entity in which the value of your investment interest was \$2,000 or more during the reporting period. (Use Schedule A-2 if you have a 10% or greater ownership interest in the business entity.)

Schedule B: Report any piece of real property in which the value of your interest was \$2,000 or more during the reporting period.

Examples:

- Anaya Tiwari deposits \$500 per month into the employer's deferred compensation program. Anaya has chosen to purchase shares in two diversified mutual funds registered with the Securities and Exchange Commission. Because Anaya's funds are invested solely in non-reportable mutual funds (see Schedule A-1 instructions), Anaya has no disclosure requirements with regard to the deferred compensation program.
- Earl James Jones has \$6,000 in an individual retirement account with an investment firm. The account contains stock in several companies doing business in his jurisdiction. One of the stock holdings, Misac Computers, reached a value of \$2,500 during the reporting period. The value of the investment in each of the other companies was less than \$2,000. Earl must report Misac Computers as an investment on Schedule A-1 because the value of the stock in that company was \$2,000 or more.
- Adriane Fisher has \$5,000 in a retirement fund that invests in real property located in Adriane's jurisdiction. The value of Adriane's interest in each piece of real property held in the fund was less than \$2,000 during the reporting period. Although this retirement fund holds reportable assets, there is no disclosure requirement because it did not have a \$2,000 or greater interest in any single piece of real property. If, in the future, the value of Adriane's interest in a single piece of real property reaches or exceeds \$2,000, it will be required to be disclosed on Schedule B for that reporting period.

Terms & Definitions - (continued)

Trusts: Investments and interests in real property held and income received by a trust (including a living trust) are reported on Schedule A-2 if you, your spouse or registered domestic partner, and your dependent children together had a 10% or greater interest in the trust and your pro rata share of a single investment or interest in real property was \$2,000 or more.

You have an interest in a trust if you are a trustor and:

- Can revoke or terminate the trust;
- Have retained or reserved any rights to the income or principal of the trust or retained any reversionary or remainder interest; or
- Have retained any power of appointment, including the power to change the trustee or the beneficiaries.

Or you are a beneficiary and:

- Presently receive income (see Gov. Code Section 82030); or
- Have an irrevocable future right to receive income or principal. (See FPPC Regulation 18234 for more information.)

Examples:

- Sarah Murphy has set up a living trust that holds Sarah's principal residence, stock in several companies that do business in the jurisdiction, and a rental home in the agency's jurisdiction. Since Sarah is the trustor and can revoke or terminate the trust, Sarah must disclose any stock worth \$2,000 or more and the rental home on Schedule A-2. Sarah's residence is not reportable because it is used exclusively as a personal residence.
- Chao Yee is listed as a beneficiary in a family's trust. However, Chao does not presently receive income from the trust, nor an irrevocable future right to receive income or principal. Therefore, Chao is not required to disclose any assets contained in the family trust.

Blind Trusts:

A blind trust is a trust managed by a disinterested trustee who has complete discretion to purchase and sell assets held by the trust. If you have a direct, indirect, or beneficial interest in a blind trust, you may not be required to disclose your pro rata share of the trust's assets or income.

However, the trust must meet the standards set out in FPPC Regulation 18235, and you must disclose reportable assets originally transferred into the blind trust and income from those original assets on Schedule A-2 until they have been disposed of by the trustee.

Trustees:

If you are only a trustee, you do not have a reportable interest in the trust. However, you may be required to report the income you received from the trust for performing trustee services.

Wedding Gifts: Wedding gifts must be disclosed if they were received from a reportable source during the period covered by the statement. Gifts valued at \$50 or more are reportable; however, a wedding gift is considered a gift to both spouses equally. Therefore, you would count one-half of the value of a wedding gift to determine if it is reportable and need only report individual gifts with a total value of \$100 or more.

For example, you receive a place setting of china valued at \$150 from a reportable source as a wedding gift. Because the value to you is \$50 or more, you must report the gift on Schedule D, but may state its value as \$75.

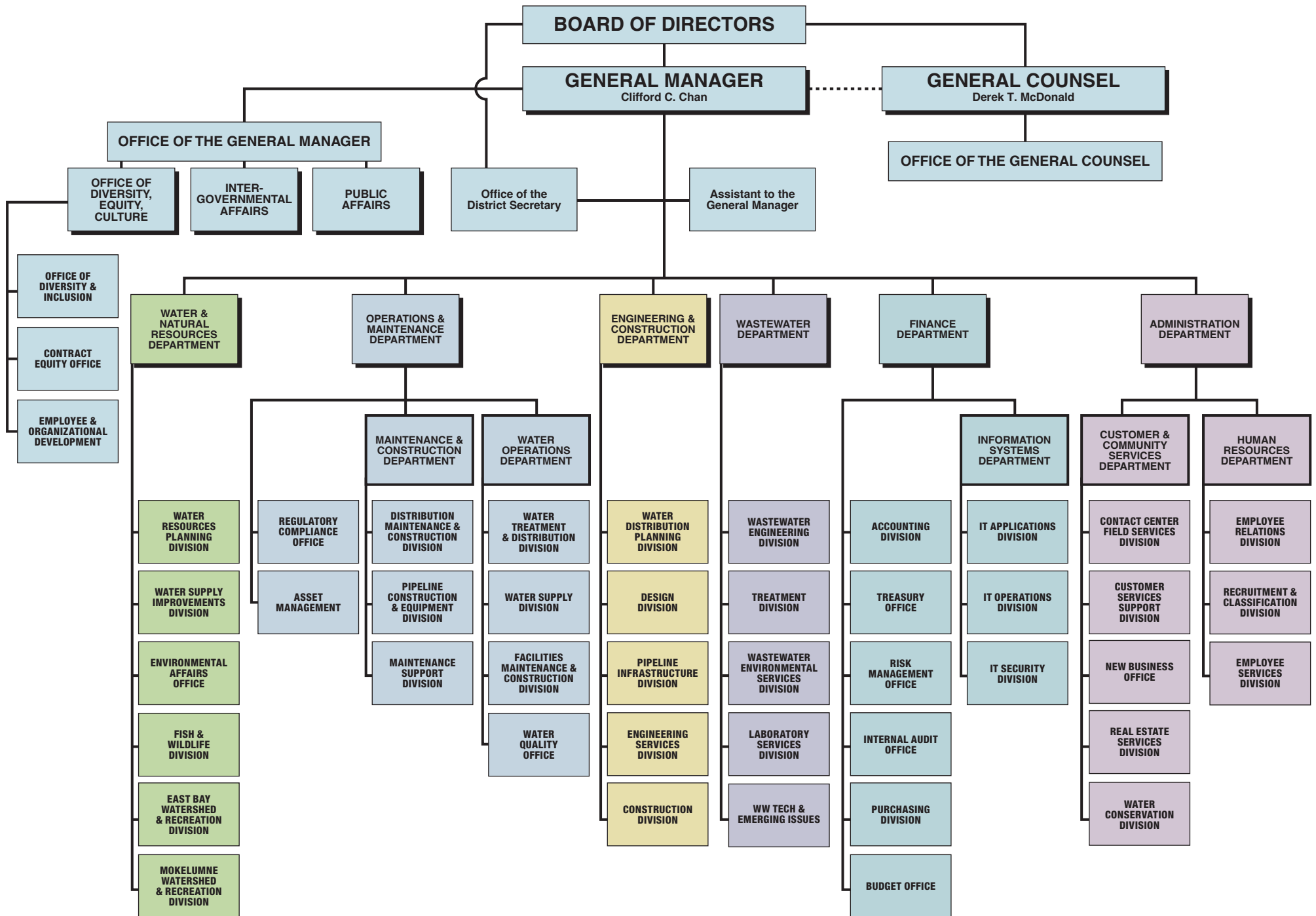
Wedding gifts are not subject to the \$590 gift limit (\$590 in 2023-2024), but they are subject to the \$10 lobbyist/lobbying firm gift limit for state officials.

Privacy Information Notice

Information requested on all FPPC forms is used by the FPPC to administer and enforce the Political Reform Act (Gov. Code Sections 81000-91014 and California Code of Regulations Sections 18110-18997). All information required by these forms is mandated by the Political Reform Act. Failure to provide all of the information required by the Act is a violation subject to administrative, criminal, or civil prosecution. All reports and statements provided are public records open for public inspection and reproduction.

If you have any questions regarding this Privacy Notice or how to access your personal information, please contact the FPPC at:

General Counsel
Fair Political Practices Commission
1102 Q Street, Suite 3050
Sacramento, CA 95811
(916) 322-5660
(866) 275-3772



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Strategic Plan

9th Edition | July 2020

Photo on cover is the Pardee Reservoir.

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July 1, 2020

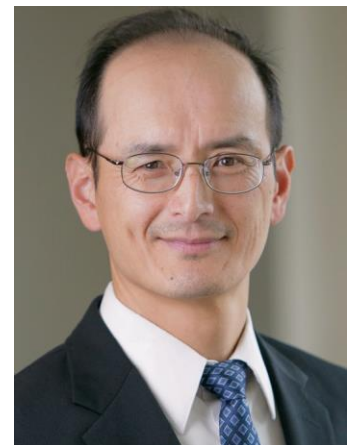
The East Bay Municipal Utility District has been operating for nearly a century. In the 1920s, early regional leaders envisioned a bustling East Bay community and established a water source in the Sierra Nevada to meet that increasing demand. We are the beneficiaries of that vision. But the challenges of today are different than they were decades ago. Foresight and planning are essential to deliver water and wastewater services 24 hours a day.



This plan was developed under the leadership of Alex Coate (retired June 2020)

This Strategic Plan is a roadmap that will guide EBMUD in ensuring to our ability to provide high-quality drinking water to 1.4 million customers and critical wastewater treatment to 685,000 customers. These efforts protect public health and the environment, and help our East Bay economy thrive.

The results of our comprehensive planning efforts were on display during the 2019 wildfire season, when our customers received continuous water and wastewater services despite unprecedented pre-emptive power shutoffs. EBMUD began preparing for power shutoffs more than a year before, as we depend on round-the-clock power to pump, treat and distribute water to customers and firefighters.



This plan will be implemented by Clifford Chan (appointed General Manager June 2020)

On a larger scale, EBMUD undertook a multi-decade partnership to build the Freeport facility on the Sacramento River to provide a supplemental water supply during dry years. During the historic 2014 – 2016 drought, this facility allowed EBMUD to provide all the water needed to serve our diverse customer base.

Over the next five years, EBMUD will plan for and respond to a broad range of water and wastewater issues such as water supply reliability, water quality improvements, sustainable management of groundwater resources, aging infrastructure, wildfire preparedness, healthy forest management, climate change and emerging contaminants in San Francisco Bay. Managing such dynamic issues requires forward-thinking leadership, sound planning, and financial stability.

From creating a new water source 90 miles away in the Sierra Nevada nearly 100 years ago, to adapting to the impacts of a rapidly changing climate, EBMUD stands ready to meet the challenges of today and tomorrow.



ALEXANDER R. COATE
Retired General Manager



CLIFFORD C. CHAN
General Manager

District Overview

The East Bay Municipal Utility District (EBMUD) supplies water and provides wastewater treatment for parts of Alameda and Contra Costa counties in California. EBMUD is a California special district formed under the Municipal Utility District Act with a seven-member publicly elected Board of Directors.



Pardee Reservoir

Residents voted in 1923 to organize the East Bay Municipal Utility District in response to an uncertain local water supply and periodic water shortages. Pardee Dam was completed in 1929 which was the highest in the world at the time. The first water deliveries were made using the Mokelumne aqueduct that same year. The water traveled 90 miles from the Sierra Mountains to the East Bay to serve a population of 460,000.

Today, the EBMUD water service area now includes 20 cities and 15 unincorporated East Bay communities, and serves 1.4 million customers. It is a 332-square mile area, which is larger than New York City, extending from Crockett in the north to San Lorenzo in the south, and eastward from San Francisco Bay through the Oakland-Berkeley hills to Walnut Creek and south through the San Ramon Valley.



Main Wastewater Treatment Plant

In 1944, voters in six of the East Bay cities served by EBMUD elected to create a wastewater treatment facility to treat waste and raw sewage that was being released directly into San Francisco Bay. Wastewater treatment began in 1951 at the plant constructed in Oakland near the entrance of the San Francisco-Oakland Bay Bridge. The wastewater service area is 88-square miles along the east shore of the bay extending from Richmond in the north to Oakland in the south. In addition to treating wastewater, laboratory services operate 365 days a year to

continually monitor water quality for drinking water and treated water from the wastewater plant that is discharged to the San Francisco Bay.

Sustainability and resilience are essential principles that guide our actions in meeting the needs of our customers. Sustainability incorporates environmental, social, and economic objectives into our decision-making and work practices to meet the needs of today without compromising the ability to meet the needs of future generations. Resilience enables the District to recover from and adapt to unforeseen events.

The Board of Directors is committed to developing policy through an open, public process, guided by the District's Mission Statement. Policies are then implemented under the direction of the General Manager who is appointed by and reports directly to the Board of Directors. Day to day operations are managed by the senior management team and carried out by approximately 2,000 dedicated employees.

Strategic Plan Overview

The Strategic Plan incorporates the District’s mission and principles, and identifies its goals, strategies, objectives and key performance indicators. The Plan guides staff in setting priorities and allocating resources.

Our **Mission** is to manage the natural resources with which the District is entrusted; to provide reliable, high quality water and wastewater services at fair and reasonable rates for the people of the East Bay; and to preserve and protect the environment for future generations.

Our **Principles** provide the foundation of the Strategic Plan and form the basis of our business practices. Our principles are:

- 💧 Exercise responsible financial management
- 💧 Ensure fair and reasonable rates and charges
- 💧 Provide responsive and high quality customer service
- 💧 Promote ethical behavior in the conduct of District business
- 💧 Ensure fair and open public processes
- 💧 Provide a safe and healthy work environment
- 💧 Protect the environment and preserve natural resources
- 💧 Minimize waste and conserve energy
- 💧 Promote diversity and equality in personnel matters and contracting
- 💧 Promote environmental, economic, and social sustainability

Our **Goals** define in broad terms the high-level achievements the District will pursue; they explain ‘what’ not ‘how’, and tell where we are going rather than how we will get there. Our **Strategies** define the actions that are necessary to achieve each goal, and may take several years to implement. Our **Objectives** reflect what we need to accomplish in the near term. Our **Key Performance Indicators** (KPIs) measure how well we are doing in achieving our goals.



Pipeline Renewal

Planning and Implementation

The purpose of the strategic planning process is to define the actions that need to be taken in the next three to five years to achieve the District’s mission now and well into the future. The process is designed to assess the environment in which we operate and respond to both near and long-term challenges. The General Manager and the senior management team lead the implementation of the Strategic Plan.

Development of the Strategic Plan is the responsibility of the senior management team who work together in cross functional teams. They assess and build consensus on initiatives and challenges, using input from the Board of Directors and various sources such as **facility master plans** which optimize capital investments, **long-range action plans**, **new initiatives**, and **employee** and **customer feedback** to update the goals, strategies, objectives and key performance indicators.

Strategic Plan Process



Once the Strategic Plan is adopted by the Board of Directors, development of specific actions to implement the Strategic Plan can begin. The Strategic Plan provides staff with an overall high-level direction to achieve future success; it does not describe all of the specific actions to be taken. By developing actions that are linked to the Strategic Plan we can ensure that we focus our resources on the highest priorities that will best serve our customers.

The Strategic Plan guides the development of the **biennial budget** and the **five-year capital improvement program** to ensure that necessary resources are provided to implement the plan’s strategies and objectives.

Individual **employee performance plans** are prepared annually to establish and communicate responsibilities and performance expectations to achieve the priorities contained in the plan.

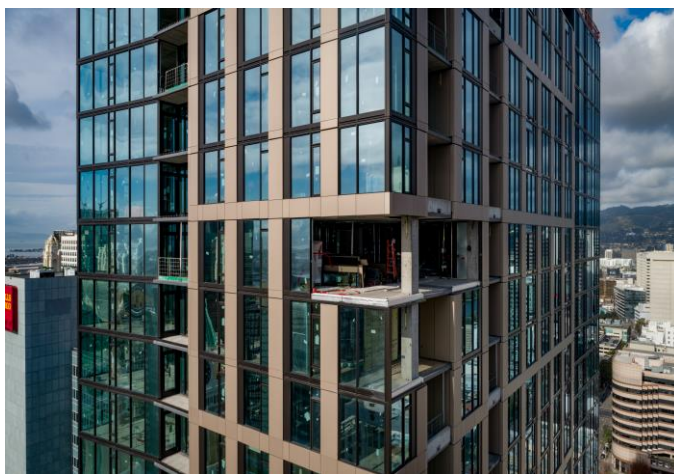


Heavy Equipment Operator

The Strategic Plan is comprised of two documents. This document contains our goals, strategies and objectives to define the actions to take to ensure both long-term achievements and near-term accomplishments. Guidance from the Board of Directors is incorporated into the plan through committee meetings and workshops.

The plan also includes a comprehensive set of KPIs that reflect the various strategies and objectives contained within the six Strategic Plan goals. The **KPI results** are measured annually against established targets to evaluate progress towards meeting our goals. The KPI report and results are presented to the Board’s Finance Committee in October.

A critical component of the strategic planning process is continuous improvement, an ongoing effort to **assess and evaluate** performance. The objective is to update the Strategic Plan based on these assessments and evaluations, including KPI results to develop and prioritize strategies for addressing issues that may impact District operations and our customers.



Mixed use complex with 634 dwelling units in Oakland



Mixed use complex with 333 dwelling units in Oakland

Our Values

With extensive input from employees of all levels and disciplines, the District developed the following four values that were adopted by EBMUD in support of our mission:



STEWARDSHIP

"I am a steward of our resources and committed to public service."



INTEGRITY

"I act with integrity."



RESPECT

"I treat others with respect."



TEAMWORK

"We are EBMUD and we are one team."



Visible reminder of our values

These values and their related behaviors guide EBMUD staff as they pursue the goals identified in this Strategic Plan. Our ongoing values efforts are focused on:

- Communication of our strategy and mission to employees and customers,
- Continuous improvement of our systems and processes, and
- Cultivation and maintenance of a diverse, engaged, and high performing culture.

It is our belief that working better together will enable us to achieve our mission to serve our customers, manage our natural resources, and protect our environment for future generations.



Our Goals

Long-Term Water Supply:

We ensure a reliable high quality water supply for the future.

Water Quality and Environmental Protection:

We meet or surpass environmental and public health standards and protect public trust values.

Long-Term Infrastructure Investment:

We maintain and improve the District's infrastructure in a cost-effective manner to ensure sustainable delivery of reliable, high quality service now and in the future, addressing economic, environmental, and social concerns.

Long-Term Financial Stability:

We manage the District's finances to meet funding needs and maintain fair and reasonable water and wastewater rates.

Customer and Community Services:

We build stakeholder trust and long-term relationships through service excellence, proactive communication and education.

Workforce Planning and Development:

We create an environment that attracts, retains and engages a high performing diverse and inclusive workforce in support of the District's mission and core values.

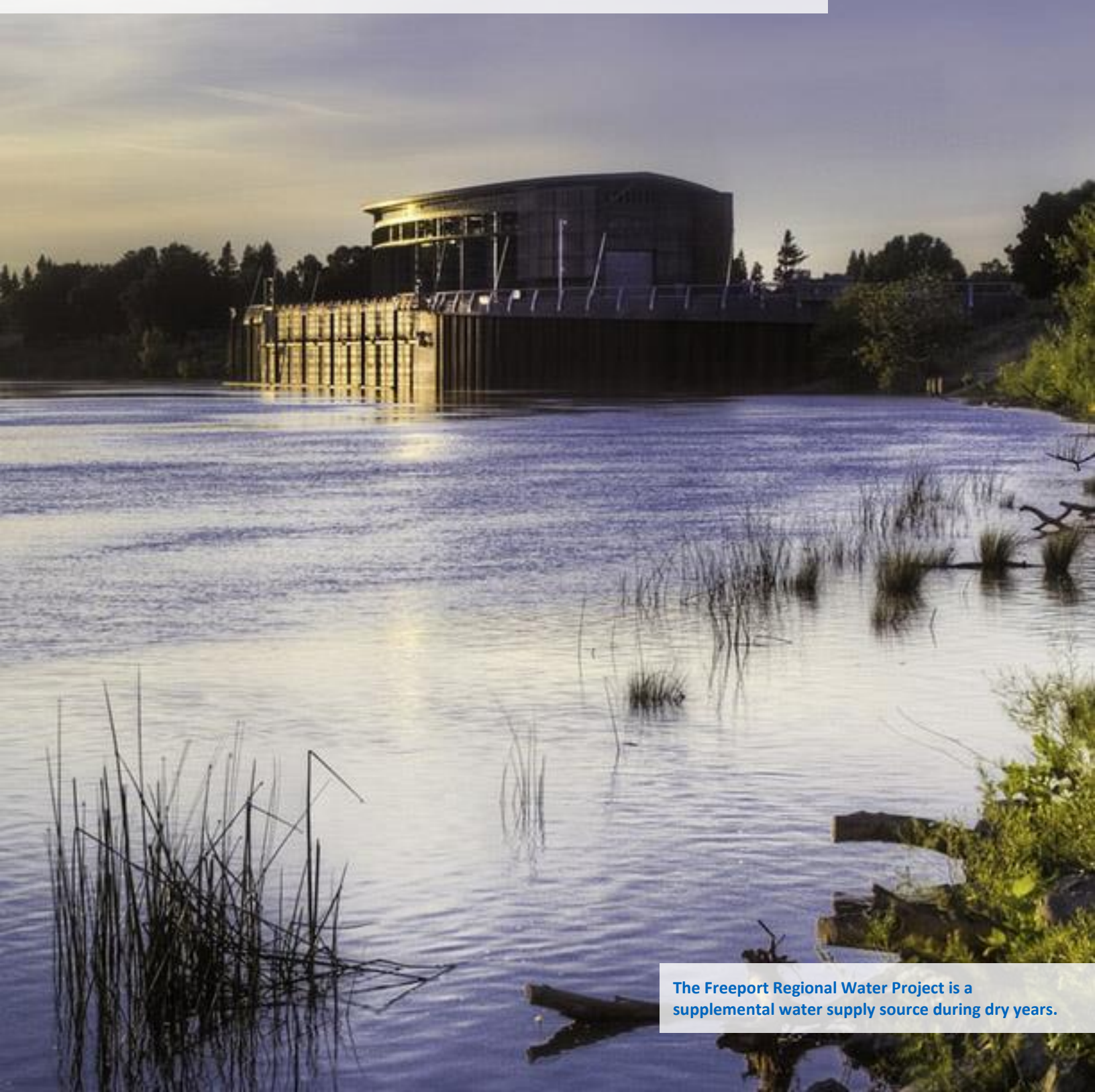


Lake Merritt in Oakland shown in the distance

Long-Term Water Supply

“We have created a resilient water supply by developing new water sources and protecting our existing supplies. We will continue to diversify our supplies to meet future needs while acknowledging the challenges that accompany them.”

Michael Tognolini, Director of Water and Natural Resources



The Freeport Regional Water Project is a supplemental water supply source during dry years.

Goal: We ensure a reliable high quality water supply for the future.

Strategy 1

Preserve current water rights and entitlements and augment the District's successful water supply projects by obtaining supplemental supplies to meet customer demands.

Objectives:

- 💧 Protect water rights and Central Valley Project contract entitlements to maximize benefits to District customers.
- 💧 Prioritize water transfers, groundwater storage, off-stream storage, and other water supply opportunities to cost-effectively improve reliability while providing the best available water quality.
- 💧 Use the Urban Water Management Plan to assess supply and demand conditions, analyze future needs, anticipate obstacles, and prescribe approaches to meeting future requirements consistent with District policy.
- 💧 Integrate the District's long-term water supply strategies and infrastructure planning efforts with regional partnerships.
- 💧 Plan for a sustainable local groundwater basin for the East Bay.

Strategy 2

Reduce potable water demand through water efficiency and conservation and build on past water savings success to help ensure a reliable water supply.

Objectives:

- 💧 Implement and update the conservation strategies identified in the District's Water Conservation Master Plan (WCMP) to meet long-term water use reduction goals.
- 💧 Use the Water Shortage Contingency Plan to implement drought response actions to meet short-term water use reduction goals.
- 💧 Implement comprehensive water management, conservation incentives, education and outreach programs and workshops to engage customers and stakeholders with information and tools to effectively manage water use and promote water use efficiency.
- 💧 Implement supply-side conservation and water loss control measures through leak detection, pipeline repair and replacement, and information management to reduce demand, improve system reliability and comply with state regulations.
- 💧 Pursue and implement regulatory and legislative initiatives that promote water conservation through efficiency standards and codes, including plan check reviews as a condition for new water services.
- 💧 Identify, encourage and create partnerships to research and test new efficiency technologies, including water-energy nexus applications and measurement methodologies.

Long-Term Water Supply

Strategy 3

Reduce potable water demand through water recycling and build on past success to achieve a diversified and reliable water supply.

Objectives:

- 💧 Maximize use of recycled water projects while protecting public health.
- 💧 Invest in innovative technology and monitor research to improve cost-effectiveness.
- 💧 Identify, evaluate and implement new opportunities for recycled water, including potential for potable reuse.
- 💧 Continue education and outreach programs to support customers and the District's programs.
- 💧 Monitor regulatory and legislative initiatives that promote recycled water use and the District's programs.

Strategy 4

Consider the impacts of climate change and take appropriate action to understand and balance mitigation and adaptation responses to those impacts through sustainable activities.

Objectives:

- 💧 Regularly review developing climate change science and evaluate future scenarios that illustrate a range of potential impacts to the District.
- 💧 Maintain a Climate Change Monitoring and Response Plan to inform the District's efforts for future water supply, watershed, water quality, and water and wastewater infrastructure investment decisions.
- 💧 Use the scenarios to identify infrastructure vulnerabilities and make cost-effective infrastructure investments and operational changes to adapt and mitigate impacts based on the best available science and a range of foreseeable conditions (i.e., "no regrets" investments).
- 💧 Educate the public and policymakers on District and industry climate change concerns and interests, participate in research, and advocate for reasonable legislation and regulatory changes.
- 💧 Develop standards to use in planning studies and infrastructure designs.

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Water Quality and Environmental Protection

“Our employees strive every day to provide high quality water to our customers and protect the environment.”

Clifford Chan, Director of Operations and Maintenance

Water travels from the Mokelumne River Watershed into Pardee Reservoir.

Goal: We meet or surpass environmental and public health standards and protect public trust values.

Strategy 1

Manage the Mokelumne and East Bay watersheds to ensure a high quality water supply and protect natural resources while providing appropriate public access.

Objectives:

- 💧 Use the Watershed Master Plans as the foundation for standards and protocols to ensure drinking water quality and protect natural resources.
- 💧 Perform monitoring and data assessment to adaptively manage the watersheds.
- 💧 Provide public access and recreational opportunities, education and outreach compatible with water quality and natural resource protection, and collect user feedback.
- 💧 Maintain upcountry facilities to support recreation commitments.
- 💧 Protect the Mokelumne River salmonid fishery through habitat enhancement projects, effective and efficient hatchery operations, and a robust science program.
- 💧 Collaborate with stakeholders to protect water quality and the environment in the Mokelumne and East Bay watersheds.
- 💧 Comply with federal and state requirements of the Mokelumne River Project to protect cultural resources, maintain structural integrity, and operate facilities to protect public health and safety, property and the environment.

Strategy 2

Operate and maintain District facilities to surpass federal and state drinking water regulations.

Objectives:

- 💧 Establish and meet District water quality goals and exceed customers' expectations.
- 💧 Advocate for water quality and environmental regulations that are based on sound science, are protective of public health and beneficial uses and that are attainable and sustainable.
- 💧 Maintain a leadership role in the professional community to further regulatory and legislative initiatives and advocate for protection of public health.
- 💧 Provide timely and accurate water quality information to customers.

Water Quality and Environmental Protection

Strategy 3

Operate and maintain District facilities to anticipate and meet all water discharge, air emission, and land disposal requirements to protect and enhance the environment.

Objectives:

- 💧 Meet or surpass all water discharge, air, and land requirements.
- 💧 Ensure that management of biosolids is cost-effective, environmentally safe and meets all local ordinance and state and federal requirements.
- 💧 Promote environmental regulations that are based on regional approaches and achieve water quality objectives through cost-effective and sustainable means.

Strategy 4

Minimize impacts to the environment by reducing, recycling, reusing and reclaiming waste, and by conserving natural resources.

Objectives:

- 💧 Pursue opportunities to recover and utilize resources (e.g., nutrients and minerals), and renewable energy in wastewater.
- 💧 Increase the cost-effective use of renewable energy.
- 💧 Identify and implement energy efficient projects.
- 💧 Reduce the District's greenhouse gas (GHG) emissions.
- 💧 Focus on reduction of pollutants at the source.
- 💧 Identify and implement waste reduction and recycling programs.

Water Quality and Environmental Protection

Strategy 5

Ensure protection and stewardship of San Francisco Bay.

Objectives:

- Proactively develop and implement regional Pollution Prevention activities that will further reduce pollutant discharges to San Francisco Bay.
- Support collaborative efforts and programs that develop science-based watershed solutions to address nutrients and other constituents-of-concern in the San Francisco Bay.
- In collaboration with the satellite collection system communities and the regulators, implement an Inflow and Infiltration Control Program that will over the long term reduce or eliminate the need for wet weather facilities.

Strategy 6

Operate Pardee and Camanche Reservoirs and facilities as an integrated system to achieve multiple objectives including municipal water supply, stream flow regulation, environmental protection, flood control, hydropower, and releases for downstream requirements.

Objectives:

- Balance the competing objectives and requirements by setting clear operational priorities and employing effective models for flow and temperature management.
- Work collaboratively with stakeholders to adaptively operate Pardee and Camanche Reservoirs to meet downstream objectives for water supply, flood control and environmental resources.
- Sustain and enhance the successful salmonid fishery on the Lower Mokelumne River through adaptive management of variable flows, temperature optimization, and collaborative efforts with lower Mokelumne stakeholders.
- Proactively comply with all state, federal, and local permit and license requirements.

Long-Term Infrastructure Investment

"We make investments in resilient infrastructure to ensure safe, reliable delivery of high quality water to our customers and wastewater discharges that protect the San Francisco Bay."

Jimi Yoloye, Director of Engineering and Construction



EBMUD work crew installing pipeline in the community.

Goal: We maintain and improve the District’s infrastructure in a cost-effective manner to ensure sustainable delivery of reliable, high quality service now and in the future, addressing economic, environmental, and social concerns.

Strategy 1

Maintain coordinated master plans for all facilities and assets.

Objectives:

- 💧 Maintain and update a master plan for each asset or group of assets that reflects current condition and performance information and addresses improvements needed to meet defined service-level requirements.
- 💧 Coordinate master plans and capital projects to optimize investments and maximize drinking water quality, and the reliability, safety, flexibility, and overall efficiency of the water and wastewater systems.
- 💧 Periodically inspect and evaluate facilities to support capital and maintenance planning.
- 💧 Consider risk, community and stakeholder concerns, workforce and technology trends, and the potential impacts of climate change as part of the planning process. Involve stakeholders in the project planning and development stage.
- 💧 Ensure that all system improvements and capital projects meet or surpass environmental and regulatory requirements, improve resilience to climate change, and incorporate sustainable practices.

Strategy 2

Meet operational needs and reliability goals by effectively maintaining the infrastructure.

Objectives:

- 💧 Define and document operational needs and reliability goals to inform maintenance decision making.
- 💧 Collect and maintain accurate asset records including criticality, maintenance history, asset condition, and performance for continuous improvement.
- 💧 Expand and refine the use of cost-effective methods and practices to determine the need for maintenance or replacement.
- 💧 Implement preventive, predictive, and corrective maintenance plans to ensure safety, service reliability, and efficiency.
- 💧 Lead the industry in water loss control through using new and innovative technology, effective maintenance practices, and efficient operations.

Long-Term Infrastructure Investment

Strategy 3

Implement the master plans and set priorities in the operating and capital budget process to reflect the needs identified in those plans.

Objectives:

- 💧 Balance life-cycle costs and risks of plans and projects in the operating and capital budgets to account for near-term needs as well as long-term sustainability and resilience.
- 💧 Complete projects on schedule, within budget and meet the desired intent and quality.
- 💧 Innovate and improve project workflows to maximize efficiency.
- 💧 Use value engineering of proposed capital projects to help implement projects cost-effectively.
- 💧 Coordinate and collaborate construction project scheduling with city, county, and other agencies and communicate with all stakeholders during construction to minimize impacts on communities.

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Long-Term Financial Stability

“We are financial stewards of the resources entrusted to the District and manage these through careful financial planning, sound rates, and new technologies with the goal of ensuring our long-term sustainability.”

Sophia Skoda, Director of Finance

\$5,000

EAST BAY MUNICIPAL UTILITY DISTRICT (ALAMEDA AND CONTRA COSTA COUNTIES, CALIFORNIA) WATER SYSTEM REVENUE BOND, SERIES 2019A (GREEN BONDS)



EAST BAY MUNICIPAL UTILITY DISTRICT, a municipal utility district duly organized and existing under and pursuant to the laws of the State of California (the "District"),

for value received, hereby promises to pay out only out of the Subordinated Water Revenues and funds hereinafter referred to the registered owner named above or registered owner named above or registered assignee, on the maturity date specified above subject to any right of prior redemption or payment as provided in the hereinafter mentioned Indenture, the principal amount specified above together with interest thereon from its Dated Date until the principal amount has been paid, at the interest rate per annum specified above, payable on December 1 and December 1 in each year, interest to be payable in lawful money of the United States of America by deposit in a certain checking account held by the registered owner provided at the hereinafter mentioned address or such other address as may be notified by the registered owner to the registered owner as of the close of business on the 15th day of the calendar month immediately preceding each interest payment date, a copy of the certificate of deposit shall be provided to the registered owner at the time of each interest payment.

supplemented, between the Trustee and the District, providing for the issuance of said bonds (the "Bonds"). Said authorized issue amount, except as otherwise provided in said Indenture, and consists or may consist of one or more series of varying denominations, dates, maturities, interest rates and other provisions, as in said Water System Subordinated Revenue Bond Indenture provided, all issued and to be issued pursuant to the provisions of the Act (as defined in the Water System Subordinated Revenue Bond Indenture). This Subordinated Revenue Bond Indenture, as amended and supplemented, including a Seventy-Ninth Supplemental Indenture, dated as of June 1, 2019, between the Trustee and the District, authorizing the issuance of the series of bonds of which this Bond is one, such series being herein referred to as the "Series 2019A Bonds" (the "Water System Subordinated Revenue Bond Indenture, as amended and supplemented, including a Seventy-Ninth Supplemental Indenture", hereinafter collectively referred to as the "Indenture"). Reference is hereby made in the Indenture and to the Act for a description of the terms on which the proceeds of the Series 2019A Bonds shall be applied to the Subordinated Water Revenue, the rights of registered owners of the Bonds, and all other terms of the Indenture, and the Indenture is hereby incorporated herein by reference. The Series 2019A Bonds shall be subject to redemption after June 1, 2020 and shall be subject to the option of the District, from any series of its Series 2019A Bonds, from any series of such Bonds, in whole or in part or any portion thereof, at any time after the date of the District and by its option, on or after June 1, 2020, at a redemption price equal to the principal amount of Series 2019A Bonds called for redemption, plus accrued interest to the call date for such Bonds.

The Subordinated Water Revenues constitute a trust fund for the security and payment of the interest on and principal of the Bonds, but nevertheless out of Subordinated Water Revenues certain amounts may be applied for other purposes as provided in the Indenture.

The Bonds are limited obligations of the District and are payable, both as to principal and interest, and as to any premiums upon redemption thereof, out of the Subordinated Water Revenues and certain funds held under the Indenture. The general fund of the District is not liable, and the credit or taxing power of the District is not pledged, for the payment of the Bonds or the interest thereon. The Bonds are not secured by a legal or equitable pledge of the property of the District or any or its income or receipts, except the Subordinated Water Revenues and the funds held under the Indenture. No registered owner of this Bond shall ever have the right to compel any exercise of the taxing power of the District to pay the Bond or the interest thereon.

registered owner hereof or its attorney duly authorized in writing by its corporate trust of the City and County of San Francisco, California, subject to the limit of the charges provided herein, upon surrender of the registered Bond. Upon such transfer, the registered owner of authorized forms of the same interest rate for the amount will be in exchange hereof.

The District, through its duly authorized officers and agents, may deem it necessary or advisable to issue any Series 2019A Bonds, provided that such Bonds shall be subject to the provisions of the Indenture, as amended and supplemented, including a Seventy-Ninth Supplemental Indenture, and shall be subject to the option of the District, from any series of its Series 2019A Bonds, in whole or in part or any portion thereof, at any time after the date of the District and by its option, on or after June 1, 2020, at a redemption price equal to the principal amount of Series 2019A Bonds called for redemption, plus accrued interest to the call date for such Bonds.

Green bonds finance infrastructure projects that promote environmental sustainability.

Goal: We manage the District’s finances to meet funding needs and maintain fair and reasonable water and wastewater rates.

Strategy 1

Maintain a long-range financing plan that sets forth the long-term funding needs of the District.

Objectives:

- 💧 Maintain financial planning models to include long-term forecasts of operating and capital expenditures, revenue requirements and rates and charges.
- 💧 Ensure the financial plan is based on reasonable, conservative assumptions and accounts for uncertainties.
- 💧 Ensure the financial plan maintains the District’s good standing in the credit markets to provide ready access to cost-effective capital financing.
- 💧 Evaluate the District’s capital financing and debt service coverage policies to optimize cash funding of capital investments.
- 💧 Evaluate the District’s cash reserve policies to consider optimal uses and levels of reserves, including alternative strategies for funding drought-related costs to ensure financial resiliency.

Strategy 2

Implement water and wastewater rates and charges that are legal, fair, reasonable, and equitable.

Objectives:

- 💧 Plan for rate increases that are steady, predictable, and based on our strategic needs.
- 💧 Mitigate increases in rates and charges by optimizing use of non-rate revenue and pursue opportunities for cost control through efficiencies and new technologies.
- 💧 Continue to establish rates and charges based on cost of service principles.
- 💧 Periodically conduct third-party cost of service studies.

Long-Term Financial Stability

Strategy 3

Ensure integrity, accountability and transparency in financial management.

Objectives:

- 💧 Develop operating and capital budgets aligned with the Strategic Plan.
- 💧 Manage operating and capital expenditures within their respective budgets.
- 💧 Develop and maintain accurate, timely, and meaningful financial data.
- 💧 Enhance the usability, clarity and accessibility of District financial information.
- 💧 Maintain and regularly evaluate internal financial controls.
- 💧 Conduct regular internal and external financial audits.
- 💧 Promote diversity and equity in contracting, consistent with state and federal laws.

Strategy 4

Implement technologies that improve the efficiency and effectiveness of business processes.

Objectives:

- 💧 Maintain a long-term plan to guide technology investments and resources.
- 💧 Apply a consistent approach to set IT priorities and evaluate, plan, and implement projects that address the needs of customers, employees and, other stakeholders.
- 💧 Ensure all employees have ready access to tools and data so they can provide excellent customer service and maintain and operate our infrastructure.
- 💧 Make effective use of tools and data to best maintain and monitor District infrastructure and develop workflows that enable rapid capture and use of the data.
- 💧 Structure and manage data to support consistent analysis and reporting and provide appropriate access to customers, employees and other stakeholders.
- 💧 Proactively ensure adequate security to meet all regulatory requirements, maintain operations, and protect the privacy of customer and employee data.

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Customer and Community Services

"We strive to meet customer expectations by providing responsive, trusted, and high quality service."

Andrew Lee, Manager of Customer and Community Services



A Field Services Representative performing an inspection of a water meter with a customer.

Goal: We build stakeholder trust and long-term relationships through service excellence, proactive communication and education.

Strategy 1

Build public awareness of the District's priorities, initiatives, systems and services.

Objectives:

- 💧 Collect and analyze customer feedback on District operations, activities and service experience and expectations.
- 💧 Proactively communicate electronically through multiple channels, via print publications, and media or community events.
- 💧 Maintain a robust web and social media presence.
- 💧 Enhance internal communication, tools and technology to effectively disseminate information to District staff.

Strategy 2

Continue to build trust by providing quality service, timely information, and resolution of customer and community inquiries.

Objectives:

- 💧 Employees recognize they are representing the customers' interest and provide professional, high quality service.
- 💧 Invest in business process improvements and technology to enhance the customer experience and customer access to information.
- 💧 Protect customer data and other personally identifiable information.
- 💧 Minimize customer and community impacts from water and wastewater operations.
- 💧 Provide programs and services that support or benefit the community, residents, and businesses.

Customer and Community Services

Strategy 3

Build long-term partnerships in the community, regionally and nationally, in areas of shared interest and in support of the District's mission.

Objectives:

- 💧 Build and actively participate in regional and national industry groups, coalitions, and partnerships to advance common goals.
- 💧 Partner with non-profit, community and education organizations in support of the District's Mission and Strategic Plan.
- 💧 Advance Contract Equity and Diversity Inclusion Programs to enhance diversity and equal opportunities for business owners and prospective and current employees.

Strategy 4

Maintain active Emergency Preparedness and business continuity Programs to plan for, minimize interruptions, and manage the District's essential functions during an emergency and allow for an efficient and effective recovery.

Objectives:

- 💧 Maintain current documentation of emergency response, business continuity, risk and resilience assessment, and disaster recovery plans, including support documents for regional coordination, and mutual assistance.
- 💧 Review and exercise emergency communications, critical functions, information technology infrastructure and protocols to support emergency response and recovery goals at all levels of the organization.
- 💧 Provide training and exercise emergency response, and business continuity plans to achieve response and recovery goals.
- 💧 Provide timely public and employee communication during emergencies and business interruptions.
- 💧 Enhance customer outage notification tools.
- 💧 Work collaboratively with local, city, county, state, and regional stakeholders on emergency preparedness, response, and recovery efforts.

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Workforce Planning and Development

“Our mission can only be fulfilled through our high performing employees. We hire, train, and retain the best.”

Laura Acosta, Manager of Human Resources



Employees receive hands-on training in treatment plant operations.

Goal: We create an environment that attracts, retains and engages a high performing diverse and inclusive workforce in support of the District’s mission and core values.

Strategy 1

Coordinate workforce planning activities to determine future needs, identify gaps and implement actions to close the gaps.

Objectives:

- 💧 Preserve intellectual capital (knowledge retention) at all levels of the organization.
- 💧 Regularly evaluate advances in technology and associated skills required for improved efficiency.
- 💧 Regularly analyze evolving workforce needs and risks to ensure the District’s current and future workforce needs are met.

Strategy 2

Continue to develop employees to meet evolving workforce demands and implement actions to close gaps.

Objectives:

- 💧 Offer career and professional development opportunities and support to expand the skills of District employees to meet emerging industry needs.
- 💧 Maximize opportunities to “grow our own” through academies, cross-training, mentoring, and rotation programs.
- 💧 Encourage personal accountability for professional development through programs such as tuition reimbursement and internal training.
- 💧 Implement organizational practices that promote and value employee contributions, safety, employee-well-being, diversity and inclusion, and encourage learning and networking.
- 💧 Engage employees and labor unions in improving the work of the District.

Workforce Planning and Development

Strategy 3

Support District values, recognize employee contributions, and establish clear performance measures to achieve a high performance culture.

Objectives:

- Engage District employees in values-based continuous improvement efforts with a focus on internal communication, teamwork, performance, and employee recognition.
- Establish and communicate clear performance and behavioral expectations and standards.
- Regularly assess and communicate performance against standards.
- Enhance managers' and supervisors' ability to accurately evaluate and recognize good performance and observable behavior that supports the District values.
- Provide coaching and opportunities for improvement of performance deficiencies.
- Incorporate diversity and inclusion practices to support the District's hiring, promotion, and retention goals.

Strategy 4

Enhance the District's ability to recruit a highly qualified, diverse staff that exhibits the District's values.

Objectives:

- Promote EBMUD's industry reputation as an employer of choice.
- Support our employees as ambassadors in our communities (peer, industry, education) to educate and share knowledge about the District's culture, values, career opportunities and work.
- Target specific employment markets and partner with colleges and regional agencies to attract and hire quality candidates that reflect the diversity of our community.
- Seek opportunities to expand internships/apprenticeships and training programs to introduce career opportunities to our community.



**EAST BAY
MUNICIPAL UTILITY DISTRICT**

375 Eleventh Street, Oakland, CA 94607

1-866-40-EBMUD

ebmud.com

Strategic Plan

Key Performance Indicators

Fiscal Years 2025 & 2026

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KPI #50 – Miles of Pipeline Replaced

Overview

Strategic Plan

The purpose of the strategic planning process is to define the actions that need to be taken in the next three to five years to achieve the District's mission now and well into the future. The Strategic Plan incorporates the District's mission and principles, and identifies its goals, strategies, and objectives. The key performance indicators (KPIs) measure achievement to those overall goals and strategies. All together, the Strategic Plan guides staff in setting priorities and allocating resources.

- Our **Mission** is to manage the natural resources with which the District is entrusted; to provide reliable, high quality water and wastewater services at fair and reasonable rates for the people of the East Bay; and to preserve and protect the environment for future generations.
- Our **Principles** provide the foundation of the Strategic Plan and form the basis of our business practices.
- Our **Goals** define in broad terms the high-level achievements the District will pursue; they explain 'what' not 'how', and tell where we are going rather than how we will get there.
- Our **Strategies** define the actions that are necessary to achieve each goal, and may take several years to implement.
- Our **Objectives** reflect what we need to accomplish in the near term.
- Our **Key Performance Indicators (KPIs)** measure how well we are doing in achieving our goals.

This KPI publication focuses solely on the KPIs for Fiscal Years (FY) 2025 and FY 2026. Please see the Strategic Plan document for further details on the Plan, including the Principles, Goals, Strategies, and Objectives.

Key Performance Indicators

The FY 2025 and FY 2026 KPIs represent an organization-wide effort to link the Strategic Plan to distinct work activities. Assembled by the Office of Budget and Performance, each KPI has undergone substantial front-line, managerial, and executive staff review, ensuring that relevance, achievability, and measurability were considered. This update to the KPIs includes the following changes:

- A new format details each KPI's overall goal and four tiers of targets (exceeds, full success, partial success, and needs attention), each with quantitative targets.
- There are now 65 total KPIs, a decrease from 91 in the FY 2023 and FY 2024 update. The new amount is the result of creating new KPIs, combining connected KPIs into single efforts, and removing KPIs that did not provide a long-term and quantifiable objective.
- KPIs are now more quantitative and less subjective in nature, in an effort to more effectively monitor and evaluate success.
- Each KPI is now designated as either a leading or a lagging indicator:
 - Leading indicators predict future performance on key goals, and measure activities or behaviors that lead to desired outcomes.
 - Lagging indicators reflect past performance and outcomes related to goals, and are used for evaluating effectiveness of strategies already implemented.

After the Board approves the FY 2025 update, staff will begin measuring the new KPIs on July 1 and report on progress for the first time in October 2025.

Strategic Plan | Goals and Strategies

Customer and Community Services

- Goal:** We build stakeholder trust and long-term relationships through service excellence, proactive communication, and education.
- Strategy 1** Build public awareness of the District's priorities, initiatives, systems, and services.
- Strategy 2** Continue to build trust by providing quality service, timely information, and resolution of customer and community inquiries.
- Strategy 3** Build long-term partnerships in the community, regionally and nationally, in areas of shared interest and in support of the District's mission.
- Strategy 4** Maintain active Emergency Preparedness and business continuity Programs to plan for, minimize interruptions, and manage the District's essential functions during an emergency and allow for an efficient and effective recovery.

Long-Term Infrastructure Investment

- Goal:** We maintain and improve the District's infrastructure in a cost-effective manner to ensure sustainable delivery of reliable, high-quality service now and in the future, addressing economic, environmental, and social concerns.
- Strategy 1** Maintain coordinated master plans for all facilities and assets.
- Strategy 2** Meet operational needs and reliability goals by effectively maintaining the infrastructure.
- Strategy 3** Implement the master plans and set priorities in the operating and capital budget process to reflect the needs identified in those plans.

Water Quality and Environmental Protection

- Goal:** We meet or surpass environmental and public health standards and protect public trust values.
- Strategy 1** Manage the Mokelumne and East Bay watersheds to ensure a high quality water supply and protect natural resources while providing appropriate public access.
- Strategy 2** Operate and maintain District facilities to surpass federal and state drinking water regulations.
- Strategy 3** Operate and maintain District facilities to anticipate and meet all water discharge, air emission, and land disposal requirements to protect and enhance the environment.
- Strategy 4** Minimize impacts to the environment by reducing, recycling, reusing and reclaiming waste, and by conserving natural resources.
- Strategy 5** Ensure protection and stewardship of the San Francisco Bay.
- Strategy 6** Operate Pardee and Camanche Reservoirs and facilities as an integrated system to achieve multiple objectives including municipal water supply, stream flow regulation, environmental protection, flood control, hydropower, and releases for downstream requirements.

Long-Term Financial Stability

- Goal:** We manage the District's finances to meet funding needs and maintain fair and reasonable water and wastewater rates.
- Strategy 1** Maintain a long-range financing plan that sets forth the long-term funding needs of the District.
- Strategy 2** Implement water and wastewater rates and charges that are legal, fair, reasonable, and equitable.
- Strategy 3** Ensure integrity, accountability, and transparency in financial management.
- Strategy 4** Implement technologies that improve the efficiency and effectiveness of business processes.

Long-Term Water Supply

- Goal:** We ensure a reliable high quality water supply for the future.
- Strategy 1** Preserve current water rights and entitlements and augment the District's successful water supply projects by obtaining supplemental supplies to meet customer demands.
- Strategy 2** Reduce potable water demand through water efficiency and conservation and build on past water savings success to help ensure a reliable water supply.
- Strategy 3** Reduce potable water demand through water recycling and build on past success to achieve a diversified and reliable water supply.
- Strategy 4** Consider the impacts of climate change and take appropriate action to understand and balance mitigation and adaptation responses to those impacts through sustainable activities.

Workforce Planning and Development

- Goal:** We create an environment that attracts, retains, and engages a high performing diverse and inclusive workforce in support of the District's mission and core values.
- Strategy 1** Coordinate workforce planning activities to determine future needs, identify gaps, and implement actions to close the gaps.
- Strategy 2** Continue to develop employees to meet evolving workforce demands and implement actions to close gaps.
- Strategy 3** Support District values, recognize employee contributions, and establish clear performance measures to achieve a high-performance culture.
- Strategy 4** Enhance the District's ability to recruit a highly qualified, diverse staff that exhibits the District's values.

Customer and Community Services				
We build stakeholder trust and long-term relationships through service excellence, proactive communication, and education.				
Strategy 1:		Build public awareness of the District's priorities, initiatives, systems, and services.		
KPI #1	District-Wide Communications Campaigns			
	<i>Leading Indicator</i>	Target	FY 2025	FY 2026
Number of campaigns implemented and communications channels utilized		Exceeded	>1 campaign 7 channels	>1 campaign 7 channels
		Full Success	1 campaign 7 channels	1 campaign 7 channels
		Partial Success	1 campaign <7 channels	1 campaign <7 channels
		Needs Attention	0 campaigns	0 campaigns
Strategy 2:		Continue to build trust by providing quality service, timely information, and resolution of customer and community inquiries.		
KPI #2	Contact Center Service Level: Average Answer Speed			
	<i>Leading Indicator</i>	Target	FY 2025	FY 2026
Average speed of answering calls coming into the Contact Center		Exceeded	<30 seconds	<30 seconds
		Full Success	30-45 seconds	30-45 seconds
		Partial Success	46-60 seconds	46-60 seconds
		Needs Attention	>60 seconds	>60 seconds
KPI #3	Contact Center Service Level: Abandonment			
	<i>Lagging Indicator</i>	Target	FY 2025	FY 2026
Percent of calls abandoned before answering		Exceeded	<1.0%	<1.0%
		Full Success	1.0%-3.5%	1.0%-3.5%
		Partial Success	3.6%-5.5%	3.6%-5.5%
		Needs Attention	>5.5%	>5.5%
KPI #4	Customer Rating: Overall			
	<i>Lagging Indicator</i>	Target	FY 2025	FY 2026
Percent of "good" or "excellent" ratings in biennial survey		Exceeded	>90%	-
		Full Success	80%-90%	-
		Partial Success	70%-79%	-
		Needs Attention	<70%	-
KPI #5	Customer Rating: Contact Center			
	<i>Lagging Indicator</i>	Target	FY 2025	FY 2026
Percent of "good" or "excellent" ratings		Exceeded	>90%	>90%
		Full Success	86%-90%	86%-90%
		Partial Success	80%-85%	80%-85%
		Needs Attention	<80%	<80%
KPI #6	Customer Rating: Trust in Decision-Making			
	<i>Lagging Indicator</i>	Target	FY 2025	FY 2026
Percentage of respondents who said they trust that EBMUD is making smart decisions about water and sewer services		Exceeded	>90%	-
		Full Success	60%-90%	-
		Partial Success	50%-59%	-
		Needs Attention	<50%	-

Customer and Community Services <i>(continued)</i>			
KPI #7	Customer Rating: Field Services		
	<i>Lagging Indicator</i>	Target	FY 2025 FY 2026
Percent of "good" or "excellent" ratings		Exceeded	>90% >90%
		Full Success	86%-90% 86%-90%
		Partial Success	80%-85% 80%-85%
		Needs Attention	<80% <80%
	KPI #8	Customer Rating: New Business	
	<i>Lagging Indicator</i>	Target	FY 2025 FY 2026
Percent of "good" or "excellent" ratings		Exceeded	>90% >90%
		Full Success	86%-90% 86%-90%
		Partial Success	80%-85% 80%-85%
		Needs Attention	<80% <80%
	KPI #9	Customer Rating: Recreation	
	<i>Lagging Indicator</i>	Target	FY 2025 FY 2026
Percent of "good" or "excellent" ratings		Exceeded	>90% >90%
		Full Success	86%-90% 86%-90%
		Partial Success	80%-85% 80%-85%
		Needs Attention	<80% <80%
	KPI #10	Customer Rating: Water Quality	
	<i>Lagging Indicator</i>	Target	FY 2025 FY 2026
Percent of "good" or "excellent" ratings		Exceeded	>90% >90%
		Full Success	86%-90% 86%-90%
		Partial Success	80%-85% 80%-85%
		Needs Attention	<80% <80%
	KPI #11	Customer-Facing IT Systems Availability	
	<i>Leading Indicator</i>	Target	FY 2025 FY 2026
Percent of time customer-facing IT systems are available		Exceeded	100.0% 100.0%
		Full Success	99.0%-99.9% 99.0%-99.9%
		Partial Success	98.0%-98.9% 98.0%-98.9%
		Needs Attention	<98.0% <98.0%
	KPI #12	Unplanned Water Service Interruptions: Less than 4 hours	
	<i>Leading Indicator</i>	Target	FY 2025 FY 2026
Interruptions per 1,000 active accounts (less than 4 hours)		Exceeded	<6 <6
		Full Success	6-10 6-10
		Partial Success	11-15 11-15
		Needs Attention	>15 >15
	KPI #13	Unplanned Water Service Interruptions: 4-12 hours	
	<i>Leading Indicator</i>	Target	FY 2025 FY 2026
Interruptions per 1,000 active accounts (4-12 hours)		Exceeded	<6 <6
		Full Success	6-10 6-10
		Partial Success	11-15 11-15
		Needs Attention	>15 >15
	KPI #14	Unplanned Water Service Interruptions: More than 12 hours	
	<i>Leading Indicator</i>	Target	FY 2025 FY 2026
Interruptions per 1,000 active accounts (more than 12 hours)		Exceeded	<3 <3
		Full Success	3-4 3-4
		Partial Success	5-8 5-8
		Needs Attention	>8 >8

Customer and Community Services <i>(continued)</i>			
KPI #15	Wastewater Odor Complaints		
	<i>Lagging Indicator</i>	Target	FY 2025 FY 2026
Number of odor complaints at all Wastewater facilities, verified as attributable to District operations		Exceeded	<10 <10
		Full Success	10-14 10-14
		Partial Success	15-20 15-20
		Needs Attention	>20 >20
Strategy 3: Build long-term partnerships in the community, regionally and nationally, in areas of shared interest and in support of the District's mission.			
KPI #16	Percent of Customers in Arrears		
	<i>Lagging Indicator</i>	Target	FY 2025 FY 2026
Percent of customers in arrears 100 days or more		Exceeded	<2.0% <2.0%
		Full Success	2.0%-3.5% 2.0%-3.5%
		Partial Success	3.6%-5.0% 3.6%-5.0%
		Needs Attention	>5.0% >5.0%
KPI #17	CAP Application Processing Time		
	<i>Leading Indicator</i>	Target	FY 2025 FY 2026
Average number of business days to process complete CAP applications		Exceeded	<3 <3
		Full Success	3-5 3-5
		Partial Success	6-9 6-9
		Needs Attention	>9 >9
KPI #18	CAP Outreach: Enrollment Communications		
	<i>Leading Indicator</i>	Target	FY 2025 FY 2026
Number of communication campaigns, in collaboration with community stakeholders, to increase CAP enrollment		Exceeded	>8 >8
		Full Success	7-8 7-8
		Partial Success	5-6 5-6
		Needs Attention	<5 <5
KPI #19	CAP Outreach: Enrollment Events		
	<i>Leading Indicator</i>	Target	FY 2025 FY 2026
Number of events, in partnership with community-based organizations, to increase CAP enrollment		Exceeded	>8 >8
		Full Success	7-8 7-8
		Partial Success	5-6 5-6
		Needs Attention	<5 <5
KPI #20	Community Water Academy		
	<i>Leading Indicator</i>	Target	FY 2025 FY 2026
Number of Community Water Academy participants		Exceeded	>40 >40
		Full Success	20-40 20-40
		Partial Success	10-19 10-19
		Needs Attention	<10 <10
KPI #21	Education Program Engagement		
	<i>Leading Indicator</i>	Target	FY 2025 FY 2026
Number of students engaged in the Education Program		Exceeded	>20,000 >20,000
		Full Success	18,000-20,000 18,000-20,000
		Partial Success	16,000-17,999 16,000-17,999
		Needs Attention	<16,000 <16,000
KPI #22	Inter-Agency Engagement		
	<i>Leading Indicator</i>	Target	FY 2025 FY 2026
Number of meetings with cities, counties, and municipal advisory committees (beyond standard coordination) about priority programs and projects		Exceeded	>30 >30
		Full Success	25-30 25-30
		Partial Success	20-24 20-24
		Needs Attention	<20 <20

Customer and Community Services *(continued)*

Strategy 4:	Maintain active Emergency Preparedness and business continuity Programs to plan for, minimize interruptions, and manage the District's essential functions during an emergency and allow for an efficient and effective recovery.		
KPI #23	Emergency Preparedness Exercises		
	<i>Leading Indicator</i>	Target	FY 2025 FY 2026
		Exceeded	>100% >100%
Completion of planned business continuity and plan updates		Full Success	95%-100% 95%-100%
		Partial Success	90%-94% 90%-94%
		Needs Attention	<90% <90%
KPI #24	Mutual Assistance Partner and Stakeholder Relationships		
	<i>Leading Indicator</i>	Target	FY 2025 FY 2026
		Exceeded	>3 >3
Number of annual exercises or meetings conducted with mutual assistance partners and stakeholders, including emergency operations team exercises		Full Success	3 3
		Partial Success	2 2
		Needs Attention	<2 <2

Long-Term Financial Stability

We manage the District's finances to meet funding needs and maintain fair and reasonable water and wastewater rates.

Strategy 1:	Maintain a long-range financing plan that sets forth the long-term funding needs of the District.		
KPI #25	Capital Plan Debt Funding (Water)		
	<i>Leading Indicator</i>	Target	FY 2025 FY 2026
		Exceeded	<50% <50%
Percent of the capital program funded with debt over last five years		Full Success	50%-65% 50%-65%
		Partial Success	66%-75% 66%-75%
		Needs Attention	>75% >75%
KPI #26	Capital Plan Debt Funding (Wastewater)		
	<i>Leading Indicator</i>	Target	FY 2025 FY 2026
		Exceeded	<50% <50%
Percent of the capital program funded with debt over last five years		Full Success	50%-65% 50%-65%
		Partial Success	66%-75% 66%-75%
		Needs Attention	>75% >75%
KPI #27	Long-Term Debt Reduction (Water)		
	<i>Leading Indicator</i>	Target	FY 2025 FY 2026
		Exceeded	<(5.0%) <(5.0%)
Three-year average of new debt issued compared to principal retired		Full Success	(5.0%)-(1.0%) (5.0%)-(1.0%)
		Partial Success	(0.9%)-1.0% (0.9%)-1.0%
		Needs Attention	>1.0% >1.0%
KPI #28	Long-Term Debt Reduction (Wastewater)		
	<i>Leading Indicator</i>	Target	FY 2025 FY 2026
		Exceeded	<(5.0%) <(5.0%)
Three-year average of new debt issued compared to principal retired		Full Success	(5.0%)-(1.0%) (5.0%)-(1.0%)
		Partial Success	(0.9%)-1.0% (0.9%)-1.0%
		Needs Attention	>1.0% >1.0%

Long-Term Financial Stability <i>(continued)</i>			
KPI #29	Actual Reserves as Percent of Target (Water)		
	<i>Lagging Indicator</i>	Target	FY 2025 FY 2026
Reserves as a percent of the targeted reserves for the Water System		Exceeded	>150% >150%
		Full Success	100%-150% 100%-150%
		Partial Success	95%-99% 95%-99%
		Needs Attention	<95% <95%
KPI #30	Actual Reserves as Percent of Target (Wastewater)		
	<i>Lagging Indicator</i>	Target	FY 2025 FY 2026
Reserves as a percent of the targeted reserves for the Wastewater System		Exceeded	>150% >150%
		Full Success	100%-150% 100%-150%
		Partial Success	95%-99% 95%-99%
		Needs Attention	<95% <95%
KPI #31	Debt as Percent of Revenue (Water)		
	<i>Lagging Indicator</i>	Target	FY 2025 FY 2026
Debt as a percent of operating revenues		Exceeded	<200% <200%
		Full Success	200%-399% 200%-399%
		Partial Success	400%-700% 400%-700%
		Needs Attention	>700% >700%
KPI #32	Debt as Percent of Revenue (Wastewater)		
	<i>Lagging Indicator</i>	Target	FY 2025 FY 2026
Debt as a percent of operating revenues		Exceeded	<200% <200%
		Full Success	200%-399% 200%-399%
		Partial Success	400%-700% 400%-700%
		Needs Attention	>700% >700%
KPI #33	Debt Service Coverage (Water)		
	<i>Lagging Indicator</i>	Target	FY 2025 FY 2026
Debt service coverage, as calculated under the Water System's bond indenture		Exceeded	>2.00x >2.00x
		Full Success	1.60x-1.99x 1.60x-1.99x
		Partial Success	1.40x-1.59x 1.40x-1.59x
		Needs Attention	<1.40x <1.40x
KPI #34	Debt Service Coverage (Wastewater)		
	<i>Lagging Indicator</i>	Target	FY 2025 FY 2026
Debt service coverage, as calculated under the Wastewater System's bond indenture		Exceeded	>2.00x >2.00x
		Full Success	1.60x-1.99x 1.60x-1.99x
		Partial Success	1.40x-1.59x 1.40x-1.59x
		Needs Attention	<1.40x <1.40x
Strategy 2:	Implement water and wastewater rates and charges that are legal, fair, reasonable, and equitable.		
KPI #35	Affordability (Water)		
	<i>Lagging Indicator</i>	Target	FY 2025 FY 2026
Low-use water bill (100 gallons per day) compared to 20th percentile Median Household Income (average of Alameda and Contra Costa Counties)		Exceeded	<1.0% <1.0%
		Full Success	1.0%-2.5% 1.0%-2.5%
		Partial Success	2.6%-3.5% 2.6%-3.5%
		Needs Attention	>3.5% >3.5%
KPI #36	Affordability (Wastewater)		
	<i>Lagging Indicator</i>	Target	FY 2025 FY 2026
District's portion of the low-use wastewater bill compared to 20th percentile Median Household Income (average of Alameda and Contra Costa Counties)		Exceeded	<0.5% <0.5%
		Full Success	0.5%-1.3% 0.5%-1.3%
		Partial Success	1.4%-1.8% 1.4%-1.8%
		Needs Attention	>1.8% >1.8%

Long-Term Financial Stability *(continued)*

Strategy 3: Ensure integrity, accountability, and transparency in financial management.

KPI #37	Operating Overtime Budget Performance (Water)	Target	FY 2025	FY 2026
	<i>Leading Indicator</i>	Exceeded	>(5.0%)	>(5.0%)
Annual change in actual overtime hours for planned work	Full Success	(5.0%)-5.0%	(5.0%)-5.0%	(5.0%)-5.0%
	Partial Success	5.1%-10.0%	5.1%-10.0%	5.1%-10.0%
	Needs Attention	>10.0%	>10.0%	>10.0%
	Target			
KPI #38	Operating Overtime Budget Performance (Wastewater)	Target	FY 2025	FY 2026
	<i>Leading Indicator</i>	Exceeded	>(5.0%)	>(5.0%)
Annual change in actual overtime hours for planned work	Full Success	(5.0%)-5.0%	(5.0%)-5.0%	(5.0%)-5.0%
	Partial Success	5.1%-10.0%	5.1%-10.0%	5.1%-10.0%
	Needs Attention	>10.0%	>10.0%	>10.0%
	Target			
KPI #39	Audit Completion	Target	FY 2025	FY 2026
	<i>Leading Indicator</i>	Exceeded	>100%	>100%
Percent of audits completed as compared to number of planned audits	Full Success	96%-100%	96%-100%	96%-100%
	Partial Success	75%-95%	75%-95%	75%-95%
	Needs Attention	<75%	<75%	<75%
	Target			
KPI #40	Audit Finding Resolution	Target	FY 2025	FY 2026
	<i>Leading Indicator</i>	Exceeded	-	-
Percent of audit findings resolved within 90 days	Full Success	96%-100%	96%-100%	96%-100%
	Partial Success	75%-95%	75%-95%	75%-95%
	Needs Attention	<75%	<75%	<75%
	Target			
Strategy 4: Implement technologies that improve the efficiency and effectiveness of business processes.				
KPI #41	IT Security Activities Completion	Target	FY 2025	FY 2026
	<i>Leading Indicator</i>	Exceeded	>100%	>100%
Percent of IT security activities completed	Full Success	95%-100%	95%-100%	95%-100%
	Partial Success	90%-94%	90%-94%	90%-94%
	Needs Attention	<90%	<90%	<90%
	Target			

Long-Term Infrastructure Investment

We maintain and improve the District's infrastructure in a cost-effective manner to ensure sustainable delivery of reliable, high-quality service now and in the future, addressing economic, environmental, and social concerns.

Strategy 2: Meet operational needs and reliability goals by effectively maintaining the infrastructure.

KPI #42	Sewer Interceptor Inspections	Target	FY 2025	FY 2026
	<i>Leading Indicator</i>	Exceeded	>5,000	>5,000
Feet of interceptor sewer pipe inspected	Full Success	3,001-5,000	3,001-5,000	3,001-5,000
	Partial Success	2,000-3,000	2,000-3,000	2,000-3,000
	Needs Attention	<2,000	<2,000	<2,000
	Target			

Long-Term Infrastructure Investment <i>(continued)</i>				
KPI #43	Water Pipe Surveys			
	<i>Leading Indicator</i>	Target	FY 2025	FY 2026
Miles of pipe surveyed for leaks		Exceeded	>800	>800
		Full Success	500-800	500-800
		Partial Success	100-499	100-499
		Needs Attention	<100	<100
KPI #44	Water System Valves Exercised			
	<i>Leading Indicator</i>	Target	FY 2025	FY 2026
Percent of water system valves exercised		Exceeded	>10%	>10%
		Full Success	6%-10%	6%-10%
		Partial Success	4%-5%	4%-5%
		Needs Attention	<4%	<4%
KPI #45	Corrective Work Orders (Water)			
	<i>Lagging Indicator</i>	Target	FY 2025	FY 2026
Percent of corrective work order hours classified high priority		Exceeded	<15%	<15%
		Full Success	15%-20%	15%-20%
		Partial Success	21%-25%	21%-25%
		Needs Attention	>25%	>25%
KPI #46	Corrective Work Orders (Wastewater)			
	<i>Lagging Indicator</i>	Target	FY 2025	FY 2026
Percent of corrective work order hours classified high priority		Exceeded	<20%	<20%
		Full Success	20%-24%	20%-24%
		Partial Success	25%-30%	25%-30%
		Needs Attention	>30%	>30%
KPI #47	Pipeline Breaks			
	<i>Lagging Indicator</i>	Target	FY 2025	FY 2026
Number of water system pipeline breaks per 100 miles of pipe		Exceeded	<15	<15
		Full Success	15-20	15-20
		Partial Success	21-25	21-25
		Needs Attention	>25	>25
KPI #48	Wastewater Maintenance Labor Hours			
	<i>Lagging Indicator</i>	Target	FY 2025	FY 2026
Percent of total maintenance labor hours spent on planned work		Exceeded	>60%	>60%
		Full Success	50%-60%	50%-60%
		Partial Success	40%-49%	40%-49%
		Needs Attention	<40%	<40%
Strategy 3:	Implement the master plans and set priorities in the operating and capital budget process to reflect the needs identified in those plans.			
KPI #49	Change Orders			
	<i>Leading Indicator</i>	Target	FY 2025	FY 2026
Percent of District-directed, non-discretionary change orders on construction contracts		Exceeded	<3.0%	<3.0%
		Full Success	3.0%-3.9%	3.0%-3.9%
		Partial Success	4.0%-5.0%	4.0%-5.0%
		Needs Attention	>5.0%	>5.0%
KPI #50	Pipeline Replacement			
	<i>Leading Indicator</i>	Target	FY 2025	FY 2026
Miles of distribution pipe replaced		Exceeded	>27.5	>27.5
		Full Success	25.0-27.5	25.0-27.5
		Partial Success	22.5-24.9	22.5-24.9
		Needs Attention	<22.5	<22.5

Long-Term Infrastructure Investment <i>(continued)</i>				
KPI #51	Pumping Plants			
	<i>Leading Indicator</i>	Target	FY 2025	FY 2026
Annual average number of pumping plants rehabilitated since FY 2015		Exceeded	>2.1	>2.1
		Full Success	1.9-2.1	1.9-2.1
		Partial Success	1.5-1.8	1.5-1.8
		Needs Attention	<1.5	<1.5
KPI #52	Steel Water Tanks			
	<i>Leading Indicator</i>	Target	FY 2025	FY 2026
Annual average number of steel water tanks rehabilitated since FY 2015		Exceeded	>2.1	>2.1
		Full Success	1.9-2.1	1.9-2.1
		Partial Success	1.5-1.8	1.5-1.8
		Needs Attention	<1.5	<1.5

Long-Term Water Supply				
We ensure a reliable high quality water supply for the future.				
Strategy 2:	Reduce potable water demand through water efficiency and conservation and build on past water savings success to help ensure a reliable water supply.			
KPI #53	Long-Term Framework Conservation Targets			
	<i>Lagging Indicator</i>	Target	FY 2025	FY 2026
Performance relative to the four conservation targets		Exceeded	>100%	>100%
		Full Success	90%-100%	90%-100%
		Partial Success	80%-89%	80%-89%
		Needs Attention	<80%	<80%
KPI #54	Savings from Conservation Programs			
	<i>Lagging Indicator</i>	Target	FY 2025	FY 2026
Implement Water Conservation Strategic Plan measures that are expected to result in 50.8 MGD of savings by 2025		Exceeded	>51.0 MGD	>51.8 MGD
		Full Success	50.8 MGD - 51.0 MGD	51.5 MGD - 51.8 MGD
		Partial Success	50.4 MGD - 50.7 MGD	51.2 MGD - 51.4 MGD
		Needs Attention	<50.4 MGD	<51.2 MGD

Water Quality and Environmental Protection				
We meet or surpass environmental and public health standards and protect public trust values.				
Strategy 1:	Manage the Mokelumne and East Bay watersheds to ensure a high quality water supply and protect natural resources while providing appropriate public access.			
KPI #55	Mokelumne River Fall-Run Chinook Salmon Returns			
	<i>Lagging Indicator</i>	Target	FY 2025	FY 2026
Salmon returns, relative to rolling six-year average (two cohorts)		Exceeded	>7,272	>7,272
		Full Success	5,455-7,272	5,455-7,272
		Partial Success	3,637-5,454	3,637-5,454
		Needs Attention	<3,636	<3,636

Water Quality and Environmental Protection <i>(continued)</i>				
Strategy 2:		Operate and maintain District facilities to surpass federal and state drinking water regulations.		
KPI #56	Water Quality: Regulations			
	<i>Lagging Indicator</i>	Target	FY 2025	FY 2026
Percent of water quality regulations met (health-based regulations)		Exceeded	-	-
		Full Success	100%	100%
		Partial Success	-	-
		Needs Attention	<100%	<100%
KPI #57	Water Quality: Goals			
	<i>Lagging Indicator</i>	Target	FY 2025	FY 2026
Percent of water quality goals met		Exceeded	-	-
		Full Success	100%	100%
		Partial Success	90%-99%	90%-99%
		Needs Attention	<90%	<90%
Strategy 3:		Operate and maintain District facilities to anticipate and meet all water discharge, air emission, and land disposal requirements to protect and enhance the environment.		
KPI #58	Significant Industrial User Inspections			
	<i>Leading Indicator</i>	Target	FY 2025	FY 2026
Percent of inspections completed to meet federal pretreatment requirements		Exceeded	>105%	>105%
		Full Success	100%-105%	100%-105%
		Partial Success	95%-99%	95%-99%
		Needs Attention	<95%	<95%
Strategy 4:		Minimize impacts to the environment by reducing, recycling, reusing and reclaiming waste, and by conserving natural resources.		
KPI #59	Carbon Neutrality by 2030			
	<i>Lagging Indicator</i>	Target	FY 2025	FY 2026
Achieve carbon neutrality for indirect and direct greenhouse (GHG) emissions by 2030 for the Water and Wastewater systems, measured by the annual (calendar year) GHG inventory.		Exceeded	<15,382 MT CO ₂ e	<12,306 MT CO ₂ e
		Full Success	15,382 MT CO ₂ e - 18,458 MT CO ₂ e	12,306 MT CO ₂ e - 15,382 MT CO ₂ e
		Partial Success	18,458 MT CO ₂ e - 21,535 MT CO ₂ e	15,382 MT CO ₂ e - 18,458 MT CO ₂ e
		Needs Attention	>21,535 MT CO ₂ e	>18,458 MT CO ₂ e
Strategy 5:		Ensure protection and stewardship of San Francisco Bay.		
KPI #60	Pollution Prevention Outreach			
	<i>Leading Indicator</i>	Target	FY 2025	FY 2026
Number of attendees at tours and other events		Exceeded	>1,000	>1,000
		Full Success	900-1,000	900-1,000
		Partial Success	800-899	800-899
		Needs Attention	<800	<800
KPI #61	Private Sewer Lateral Program Implementation			
	<i>Lagging Indicator</i>	Target	FY 2025	FY 2026
Percent compliance following enforcement of title transfer triggers and water meter triggers		Exceeded	>95%	>95%
		Full Success	90%-95%	90%-95%
		Partial Success	80%-89%	80%-89%
		Needs Attention	<80%	<80%

Workforce Planning and Development

We create an environment that attracts, retains, and engages a high performing diverse and inclusive workforce in support of the District's mission and core values.

Strategy 1:		Coordinate workforce planning activities to determine future needs, identify gaps, and implement actions to close the gaps.		
KPI #62	Injury and Illness Investigations			
	<i>Leading Indicator</i>	Target	FY 2025	FY 2026
		Exceeded	-	-
Percent of investigations completed for all job injury reports		Full Success	100%	100%
		Partial Success	95%-99%	95%-99%
		Needs Attention	<95%	<95%
Strategy 2:		Continue to develop employees to meet evolving workforce demands and implement actions to close gaps.		
KPI #63	Training Hours			
	<i>Leading Indicator</i>	Target	FY 2025	FY 2026
		Exceeded	>40	>40
Training hours per employee		Full Success	30-40	30-40
		Partial Success	25-29	25-29
		Needs Attention	<25	<25
Strategy 3:		Support District values, recognize employee contributions, and establish clear performance measures to achieve a high performance culture.		
KPI #64	Employee Recognition Activities			
	<i>Leading Indicator</i>	Target	FY 2025	FY 2026
		Exceeded	>90%	>90%
Percentage of employees participating in recognition activities		Full Success	80%-90%	80%-90%
		Partial Success	70%-79%	70%-79%
		Needs Attention	<70%	<70%
KPI #65	Wellness			
	<i>Leading Indicator</i>	Target	FY 2025	FY 2026
		Exceeded	>3	>3
Number of wellness outreach campaigns implemented		Full Success	3	3
		Partial Success	2	2
		Needs Attention	<2	<2
Strategy 4:		Enhance the District's ability to recruit a highly qualified, diverse staff that exhibits the District's values.		
KPI #66	Hiring Timelines			
	<i>Leading Indicator</i>	Target	FY 2025	FY 2026
		Exceeded	<84	<84
Average number of calendar days from position fill request approval to hiring request approval		Full Success	84-105	84-105
		Partial Success	106-126	106-126
		Needs Attention	>126	>126



**EAST BAY
MUNICIPAL UTILITY DISTRICT**

375 Eleventh Street, Oakland, CA 94607

1-866-40-EBMUD

ebmud.com

Additional Reference Information

- Information about who we are including our Strategic Plan and Key Performance Indicators (<https://www.ebmud.com/about-us/who-we-are>)
- Information about EBMUD governance including the Municipal Utility District Act and the Board of Directors' Ethics Policy (<https://www.ebmud.com/about-us/board-directors/governance>)
- Diversity, Equity, and Inclusion Strategic Plan ([https://www.ebmud.com/application/files/5917/0905/8671/EBMUD Diversity Equity and Inclusion Strategic Plan.pdf](https://www.ebmud.com/application/files/5917/0905/8671/EBMUD_Diversity_Equity_and_Inclusion_Strategic_Plan.pdf))
- Understanding Board Meetings (<https://www.ebmud.com/about-us/board-directors/board-meetings/understanding-board-meetings>)
- Financial Information (<https://www.ebmud.com/about-us/financial-information>)
- Regulations Governing Water Service (<https://www.ebmud.com/customers/new-meter-installation/regulations/regulations-governing-water-service>)
- Information about our customers (<https://www.ebmud.com/customers>)
- Information about our water system (<https://www.ebmud.com/water>)
- Information about our wastewater system (<https://www.ebmud.com/wastewater>)
- Information about our recreation (<https://www.ebmud.com/recreation>)
- Customer Assistance Program (<https://www.ebmud.com/customers/customer-assistance-program>)
- Construction and Maintenance (<https://www.ebmud.com/about-us/construction-and-maintenance>)
- Sustainability (<https://www.ebmud.com/about-us/sustainability>)
- Publications including links to our Biennial Report, Customer Pipeline Newsletters, and various factsheets and reports (<https://www.ebmud.com/about-us/publications>)

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