

CONFLICT OF INTEREST CODE PROVISIONS

CALIFORNIA PUBLIC UTILITIES COMMISSION

(As approved by the California Fair Political Practices Commission on March 2, 2006)
(20 California Code of Regulations, Division 1, Chapter 2)

The Political Reform Act, Government Code Sections 81000, *et seq.*, requires state and local government agencies to adopt and promulgate Conflict of Interest Codes. The Fair Political Practices Commission has adopted a regulation, 2 California Code of Regulations Section 18730, which contains the terms of a standard Conflict of Interest Code, which can be incorporated by reference, and which may be amended by the Fair Political Practices Commission to conform to amendments in the Political Reform Act after public notice and hearings. Therefore, the terms of 2 California Code of Regulations Section 18730 and any amendments to it duly adopted by the Fair Political Practices Commission, along with the following list in which officials and employees are designated and disclosure categories are set forth, are hereby incorporated by reference and constitute the Conflict of Interest Code of the Public Utilities Commission of California.

1. Designated Employees and Applicable Disclosure Categories

Designated employees shall file statements of economic interests with the agency. Listed below are “designated employees” and their applicable disclosure categories:

(a.) <u>Designated Employees (Non-Exempt)</u>	<u>Applicable Disclosure Categories</u>
Accounting Administrator I (Supervisor)	2, 3
Administrative Assistant I	2, 3
Administrative Assistant II	2, 3
Administrative Law Judge I	15
Administrative Law Judge II	15
Assistant Chief ALJ	2, 3, 15
Assistant Chief PU Counsel	2, 3, 15
Assistant Info Systems Analyst	2, 3
Associate Budget Analyst	2, 3
Associate Governmental Program Analyst	2, 3, 15
Associate Info Systems Analyst (Specialist)	3
Associate Info Systems Analyst (Supervisor)	3
Associate Management Analyst	2, 3
Associate Personnel Analyst	2, 3

Associate Programmer Analyst (Specialist)	3
Associate Programmer Analyst (Supervisor)	3
Associate Transportation Representative	15
Business Services Officer I (Specialist)	2, 3
Business Services Officer I (Supervisor)	2, 3
Business Service Officer II (Supervisor)	2, 3
CEA Level 1	2, 3, 15
CEA Level 2	2, 3, 15
CEA Level 3	2, 3, 15
CEA Level 4	2, 3, 15
Chief Administrative Law Judge	1
Chief Hearing Reporter	2, 3
Computer Operator	3
Computer Operator C	3
Consumer Affairs Representative	15
Consumer Services Manager	15
Consumer Services Supervisor	15
Data Processing Manager I	3
Data Processing Manager II	3
Data Processing Manager III	3
Graduate Legal Assistant	15
Information Officer I (Specialist)	15
Information Officer I (Supervisor)	15
Information Officer II	15
Information Officer III CEA	15
Information Systems Technician C	3
Information Systems Technician Supervisor I	3
Information Systems Technician Supervisor II	3
Labor Relations Specialist	2, 3
Legal Counsel A	15
Legal Counsel B	15
Management Services Technician B	2, 3
Personnel Selection Consultant I	2, 3
Personnel Specialist	2, 3
Personnel Services Specialist I	2, 3
Personnel Services Specialist II	2, 3
Personnel Supervisor I	2, 3
Principal PU Financial Examiner	15
Principal Transportation Division	2, 3, 15
Printing Trades Supervisor I (General)	2, 3
Program and Project Supervisor	2, 3, 15
Program Manager	2, 3, 15
Program Technician III	2, 3, 15
Public Utilities Counsel I, PUC	15

Public Utilities Counsel II, PUC	15
Public Utilities Counsel III, PUC	15
Public Utilities Counsel IV, PUC	15
Public Utilities Regulatory Analyst I A	15
Public Utilities Regulatory Analyst I B	15
Public Utilities Regulatory Analyst I C	15
Public Utilities Regulatory Analyst II	15
Public Utilities Regulatory Analyst III	15
Public Utilities Regulatory Analyst IV	15
Public Utilities Regulatory Analyst V	15
Public Utilities Financial Examiner II	15
Public Utilities Financial Examiner III	15
Public Utilities Financial Examiner IV	15
Senior Electrical Engineer	15
Senior Information Systems Analyst (Supervisor)	3
Senior Programmer Analyst (Supervisor)	3
Senior Rapid Trans. Comp. Control Syst. Spec	11, 12
Senior Transportation Operations Supervisor	11, 12
Senior Transportation Rate Expert	11, 12
Senior Transportation Representative	11, 12
Senior Utilities Engineer (Specialist)	15
Senior Utilities Engineer (Supervisor)	15
Special Consultant	2, 3, 15
Staff Information Systems Analyst (Specialist)	3
Staff Information Systems Analyst (Supervisor)	3
Staff Programmer Analyst (Specialist)	3
Staff Programmer Analyst (Supervisor)	3
Staff Services Analyst (General) A, B, C	2, 3
Staff Services Manager I	2, 3
Staff Services Manager II (Managerial)	2, 3
Staff Services Manager II (Supervisor)	2, 3
Staff Services Manager III	2, 3
Supervising Transportation Engineer	11, 12
Supervising Transportation Rate Expert	11, 12
Supervising Transportation Representative	11, 12
Supervisor Operations & Safety Section, PUC	11, 12
Telecommunications Systems Analyst I	15
Transportation Analyst B, C	15
Utilities Engineer	15

(b.) <u>Designated (Exempt) Employees</u>	<u>Applicable Disclosure Categories</u>
Administrative Analyst (Supervisor)	2, 3
Administrative Analyst (Specialist)	2, 3
Advisor, Policy and Planning, PUC	2, 3, 15
Advisor, Energy Efficiency and Renewables, PUC	4, 5, 6
Communications Director, PUC	15
Coordinator, Media and Public Relations	15
Director, Office of Ratepayer Advocates	1
Executive Director, PUC	1
Executive Coord for Media & Public Relations	15
General Counsel, PUC	1
Legal Advisor I	1
Legal Advisor II	1
Legislative Analyst, PUC	15
Legislative Director, PUC	2, 3, 15
Legislative Representative	2, 3, 15
Small Business Community Liaison, PUC	2, 3, 15
Special Advisor	1
Technical Advisor, PUC	1

(c.) <u>Other</u>	<u>Applicable Disclosure Categories</u>
Commission Consultants	16

2. Disclosure Categories

(a.) General Rules and Definitions

For purposes of the following disclosure categories, "income" includes gifts, loans, and travel payments.

For purposes of the following disclosure categories, "business entity" means any organization or enterprise, including but not limited to a proprietorship, firm, business trust, joint venture, syndicate, corporation or association. "Business position" means any business entity in which the filer is a director, officer, partner, trustee, employee or holder of a position of management.

Where a CPUC employee holds one position for personnel purposes, but in fact performs work of another kind, the employee is subject to the disclosure categories for both positions. For example, if an employee is classified as a PURA V, but in fact is working as a Commissioner's Advisor, the employee must disclose all interests applicable to PURA V's and any additional interests that a Commissioner's Advisor must disclose. Similarly, those employees in the CEA classifications working as Commissioner Advisors should disclose all interests that a Legal Advisor or a Technical Advisor (Exempt) must disclose.

(b) Disclosure Categories

Category 1

Designated officials and employees assigned to this category must report all sources of income, interests in real property, and investments and business positions in business entities.

Category 2

Designated employees assigned to this category must report all income from, and investments and business positions in, business entities that provide services, supplies, materials, machinery or equipment of the type purchased, leased, or obtained by contract by the California Public Utilities Commission other than those interests reported under Category 3. This includes any related training or consulting services.

Category 3

Designated employees assigned to this category must report all income from, and investments and business positions in, business entities that manufacture, sell, distribute or otherwise provide computers, computer hardware, computer software, computer services, computer models, or computer-related supplies, materials, machinery, or equipment of the type utilized by the California Public Utilities Commission. This includes any related training or consulting services.

Category 4

Designated employees assigned to this category must report all income from, and investments and business positions in, business entities that design, develop, construct, operate, maintain, sell or acquire facilities that transmit or distribute electricity or natural gas, or that generate electricity, or entities that are gas, electricity, or energy consultants, research firms, or engineering firms.

Category 5

Designated employees assigned to this category must report all income from, and investments and business positions in, business entities that are energy consultants, entities that design, build, manufacture, sell, distribute or maintain equipment of the type that is utilized especially or particularly by energy service providers, or research or engineering firms that provide services to energy service providers.

Category 6

Designated employees assigned to this category must report all income from, and investments and business positions in, business entities that provide energy conservation services or energy management services, and entities that design, build, manufacture, sell, distribute or maintain energy conservation or energy management devices.

Category 7

Designated employees assigned to this category must report all income from, and investments and business positions in, business entities that design, develop, construct, operate, maintain, sell or acquire facilities for telecommunications services.

Category 8

Designated employees assigned to this category must report all income from, and investments and business positions in, business entities that are telecommunications consultants, entities that design, build, manufacture, sell, distribute or maintain equipment or related products of the type that are utilized especially or particularly by telecommunications providers and end-users, or research or engineering firms that provided services to telecommunications providers.

Category 9

Designated employees assigned to this category must report all income from, and investments and business positions in, business entities that design, develop, construct, operate, maintain, sell, or acquire facilities for water utility service, as well as business entities that design, develop, manufacture, operate, maintain or sell water conservation devices or services.

Category 10

Designated employees assigned to this category must report all income from, and investments and business positions in, business entities that are hydrological or geological consultants, or entities that design, build, manufacture, sell, distribute or maintain equipment or related products of the type that are utilized especially or particularly by water utilities and end-users, or research or engineering firms that provide services to water utilities.

Category 11

Designated employees assigned to this category must report all income from, and investment and business positions in, business entities that design, develop, construct, operate, maintain, sell or acquire railroads, light rail transit and other transit systems that are within the jurisdiction of the California Public Utilities Commission.

Category 12

Designated employees assigned to this category must report all income from, and investments and business positions in, business entities that design, build manufacture, sell, distribute or maintain equipment or related products of the type that are utilized especially or particularly by motor carriers, railroads, light rail transit and other transit systems that are within the jurisdiction of the California Public Utilities Commission, or consultants or research or engineering firms that provide services to motor carriers, railroads, light rail

transit and other transit systems within the jurisdiction of the California Public Utilities Commission.

Category 13

Designated employees assigned to this category must report all income from, and investments and business positions in business entities that have applied for, can reasonably be expected to apply for, or have received approval from the California Public Utilities Commission of funding for intervenor participation or other purpose.

Category 14

Designated employees assigned to this category must report all interests in real property located within the state of California.

Category 15

Designated employees assigned to this category must comply with all the reporting requirements in Categories 4 through 14.

Category 16

Consultants to the California Public Utilities Commission or to a regulated entity on behalf of the Commission (as defined in Title 2, California Code of Regulation § 18700) must disclose pursuant to the broadest disclosure category in the code subject to the following limitation:

The executive director may determine in writing that a particular consultant is hired to perform a range of duties that is limited in scope and thus is not required to fully comply with the disclosure requirements. Such written determination shall include a description of the consultant's duties and, based upon the description, a statement of the extent of disclosure requirements. The determination of the executive director is a public document and shall be retained for public inspection in the same manner and location as the disclosure statements.