

## California Public Utilities Commission

*Draft for Purpose of Discussion Only*

### DRAFT LIST OF STATUTORY AUTHORITIES AND GOVERNANCE POLICIES

Updated Draft – January 6, 2016

*Italicized text* means a written policy does not exist

“Commission” means the 5-member body

“Commissioner” means an individual Commissioner

“CPUC” means the 1000-employee agency

- I. KEY AUTHORITIES AND STATUTES ADDRESSING GOVERNANCE OF THE COMMISSION**
- a. CONSTITUTIONAL PURPOSE OF THE COMMISSION (Cal. Const. Art. XII)
  - b. CONSTITUTIONAL AUTHORITY OF COMMISSIONERS (Cal. Const. Art. XII)
  - c. APPOINTMENT AND CONFIRMATION OF COMMISSIONERS (Cal. Const. Art. XII Sec. 1)
  - d. REMOVAL OF A COMMISSIONER (Cal. Const. Art. XII Sec. 2)
  - e. DESIGNATION OF THE PRESIDENT (Pub. Util. Code sec. 305)
  - f. GOVERNANCE ROLES OF THE PRESIDENT
    - i. Direction of the Executive Director (Pub. Util. Code sec. 305)
    - ii. Direction of the General Counsel (Pub. Util. Code sec. 305)
  - g. GOVERNANCE ROLES OF THE COMMISSIONERS
    - i. Appointment of the Executive Director (Pub. Util. Code sec. 308(a))
    - ii. Appointment of the General Counsel (Pub. Util. Code sec. 307(a))
  - h. ESTABLISHMENT OF PROCEDURAL RULES (Cal. Const. Art. XII)
  - i. CATEGORIZATION OF PROCEEDINGS (Pub. Util. Code sec. 1701.1(a))
  - j. ASSIGNMENT OF PROCEEDINGS (Pub. Util. Code sec. 1701.1(b))
  - k. DETERMINATION OF PRESIDING OFFICER IN ADJUDICATORY MATTERS (Pub. Util. Code sec. 1701.2(a))
  - l. DETERMINATION OF PRESIDING OFFICER IN RATESETTING MATTERS (Pub. Util. Code sec. 1701.3(a))
  - m. ASSIGNED COMMISSIONER ROLE IN QUASI-LEGISLATIVE MATTERS (Pub. Util. Code sec. 1701.4(a))
  - n. COMMISSION DECISIONS IN ADJUDICATORY PROCEEDINGS (Pub. Util. Code sec. 1701.2(a))
  - o. COMMISSION DECISIONS IN RATESETTING PROCEEDINGS (Pub. Util. Code sec. 1701.3(e))
  - p. COMMISSION DECISIONS IN QUASI-LEGISLATIVE PROCEEDINGS (Pub. Util. Code sec. 1701.4(d))
  - q. REGULATORY AUTHORITY OF THE COMMISSION (Pub. Util. Code sec. 701)

## **II. COMMISSION GOVERNANCE POLICIES**

- a. COMMISSION GOVERNANCE PURPOSE (draft discussed 9/30/2015, 10/21/2015, ready for inclusion in final governance policy binder)
- b. COMMISSION BUSINESS MEETING PROCEDURES (Commission Memorandum CR-2, 10/03/2002)
- c. COMMISSIONER CODE OF CONDUCT (adopted by Commission 10/1/2015)
- d. COMMISSIONER JOB DESCRIPTION (adopted by Commission 10/1/2015)
- e. COMMISSIONER COMMITTEES
  - i. Memorandum addressing Commissioner Committees (discussed by Commission 2/12/2015)
  - ii. Charter of the Finance and Administration Committee
  - iii. Charter of the Modernization Committee (draft posted 6/17/2015 at [http://www.cpuc.ca.gov/PUC/Commissioner\\_Committee\\_Meetings.htm](http://www.cpuc.ca.gov/PUC/Commissioner_Committee_Meetings.htm))
  - iv. Charter of the Policy and Governance Committee
- f. *INDIVIDUAL COMMISSIONER AND FIVE-MEMBER COMMISSION COMMENTS TO STATE AND FEDERAL AGENCIES* (draft discussed 11/2/2015, revised draft forthcoming)
- g. COMMISSIONER TRAINING AND ORIENTATION (draft discussed 11/4/2015, ready for inclusion in final governance policy binder)

## **III. COMMISSION POLICIES AND PRIORITIES FOR DIRECT REPORTS**

- a. *Unity of Control* (concept discussed 9/30/2015, awaiting further consideration)
- b. *COMMISSION POLICIES AND PRIORITIES FOR THE EXECUTIVE DIRECTOR* (draft discussed 12/2/2015, ready for inclusion in final governance policy binder)
- c. *COMMISSION POLICIES AND PRIORITIES FOR THE GENERAL COUNSEL* (draft forthcoming)
- d. *COMMISSION POLICIES AND PRIORITIES FOR THE CHIEF ADMINISTRATIVE LAW JUDGE* (draft forthcoming)
- e. *COMMISSION POLICIES AND PRIORITIES FOR THE INTERNAL AUDITOR –* (draft forthcoming)
  - i. Internal Audit Charter (adopted by Commission 5/21/2015)
- f. *COMMISSION EVALUATIONS OF DIRECT REPORTS* (draft forthcoming)

## **IV. COMMISSION-APPROVED POLICIES AFFECTING REGULATED INDUSTRIES**

- a. SAFETY POLICY (adopted 7/10/2014)

## **V. COMMISSION-APPROVED STRATEGIC DIRECTIVES** (to be developed during strategic planning process)