

**DRAFT:**  
**For Discussion Purposes**

**CODE OF  
INDEPENDENCE/  
CODE OF CONDUCT**

**FOR THE CALIFORNIA TECHNICAL FORUM  
(CAL TF)**

December 10, 2013

## **I. BACKGROUND**

The California Technical Forum (Cal TF) wishes to maintain the highest integrity in all its operations, in part, by requiring California Technical Forum Members (Cal TF Voting Members) to pledge that they will vote on technical matters before the Cal TF using their best [independent?] professional judgment, and not based on their organizational interests. In addition, the Cal TF seeks to conduct its operations in a collaborative, collegial environment where all parties agree to a Code of Conduct that will foster collaboration and collegiality.

## **II. CODE OF INDEPENDENCE**

This Code of Independence applies to Cal TF Voting Members, the Cal TF Chair and the Cal TF Vice-Chair, who may, at times, cast a vote on technical issues.

### **A. Code of Independence**

All Cal TF Voting Members, the Cal TF Chair and the Cal TF Vice-Chair must pledge to vote on all matters before the Cal TF using their best independent professional judgment, and not based on their organizational interests or perspective. If, in a particular circumstance, the person casting a vote does not believe they can vote based on their best independent professional judgment, they may recuse themselves from the particular vote.

### **B. Violations of the Code of Independence**

Alleged violations of the Code of Independence shall be brought to the Cal TF Chair, Cal TF Vice-Chair, or the PAC Chair. The party identifying the alleged Code violation must provide a written description of the circumstances and all relevant facts. The Cal TF Chair, in consultation with the PAC Chair, will investigate the alleged violation confidentially, and brief the PAC on any findings confidentially. To the extent the allegation is substantiated, the PAC will determine how to address the violation, up to and including asking the violator to not participate further in the Cal TF Process.

## **III. CODE OF CONDUCT**

The Code of Conduct applies to the PAC, including the PAC Chair; the Cal TF Members, including voting, non-voting and corresponding members; and the Cal TF Chair, Cal TF Vice-Chair and Cal TF staff. In addition, public participants in the Cal TF meetings are expected to conduct themselves consistent with the intent of the Code of Conduct, and may be excluded from Cal TF meetings by the Cal TF Chair or Vice-Chair if they do not.

## A. Code of Conduct

For the Cal TF to be an effective and meaningful stakeholder process, all parties who participate in the Cal TF must agree to cooperate and collaborate, and also to conduct themselves in a professional and courteous manner. The following must sign the Code of Conduct to participate: PAC members; Cal TF Voting, Non-Voting and Corresponding Members; and the Cal TF Chair, Cal TF Vice-Chair and Cal TF staff, including any subcontractors (hereinafter “Covered Entities”). The Covered Entities shall agree to and pledge the following:

- 1) Provide Meaningful Review: Prior to voting on any issue, carefully, thoroughly, and thoughtfully reviewing all material pertaining to the vote.
- 2) Identify Relevant Data, Studies, Documents, Analysis: Identifying relevant data, studies, documents and analysis relating to the votes, or Cal TF Business Plan items, and present them to the Cal TF as appropriate.
- 3) Raise Opposing Technical Views: Prior to votes on any technical issue, with as much notice as possible, raising reasonable technical issues or opposing views if not adequately captured in the written documents brought before the Cal TF relating to a vote. The purpose of this requirement is to ensure that Cal TF Voting Members are adequately apprised of all relevant technical data and assessments prior to voting.
- 4) Fairly Consider Alternate Perspectives; Compromise to Reach Technically Sound Outcomes: Cal TF Voting Members shall fairly consider alternate perspectives and be willing to compromise to reach consensus outcomes that are technically sound and rigorous.
- 5) Behave Professionally and Courteously: All participants in the Cal TF process agree to treat all other participants with courtesy and respect regardless of their organizational affiliation or position, age, background or other characteristics, and refrain from inappropriate language, ad hominem remarks, and other inappropriate behavior.
- 6) Not Retaliate: Cal TF participants must agree, in good faith, to not retaliate against any other Cal TF participants for data, positions, arguments or other constructive contributions they make to the Cal TF process either in the Cal TF process or in other fora.
- 7) Engage in Open and Honest Communication: Cal TF participants agree to engage in open and honest communication, and not to deceive others or misrepresent their true opinions or positions.

## B. Violations of the Code of Conduct

Alleged violations of the Code of Conduct shall be brought to the Cal TF Chair, Cal TF Vice-Chair, or the PAC Chair. The party identifying the alleged Code violation must provide a written description of the circumstances and all relevant facts. For the first and second violations, the Cal TF Chair shall discuss the alleged violations with the violator, and may brief the PAC Chair of the alleged violation. For third and subsequent violations, the Cal TF

Chair, in consultation with the PAC Chair, will investigate the alleged violation confidentially, and brief the PAC on any findings confidentially. The PAC will determine how to address the violation, up to and including asking the violator to not participate further in the Cal TF process.

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/s/ PAC Voting Members