



# CONSOLIDATED COMMISSION ON UTILITIES

Guam Power Authority • Guam Waterworks Authority  
P.O. BOX 2977 • Agana, Guam 96932

## CODE OF CONDUCT

### Section 1. AUTHORITY

In accordance with 12 GCA §79101, the Consolidated Commission on Utilities (CCU) hereby adopts, as a policy, the following Code of Conduct to assist it in the conduct of its affairs.

### Section 2. PREAMBLE

The CCU commits itself and its actions to ethical, businesslike, and lawful conduct including the proper use of authority and appropriate decorum when acting in their official capacity as Commissioners. Commissioners must avoid actual impropriety and the appearance of impropriety to ensure and maintain public confidence in the CCU and the agencies it governs, the Guam Power Authority (GPA) and the Guam Waterworks Authority (GWA).

### Section 3. GENERAL PRINCIPALS

- (a) The effective administration of the laws applicable to the CCU depends to a great extent on the public confidence in those individuals who administer and execute the laws. The reputation of the CCU can best be maintained when those individuals obey not only the literal requirements of the laws of Guam governing their conduct, but when their conduct supports the moral and ethical principals of those laws.
- (b) Commissioners shall conduct themselves with civility and respect at all times with one another, with the staff, management, and personnel of GPA, GWA, and with Guam's ratepayers and the public in general.
- (c) Guam's Ethics in Public Contracting Statutes and their implementing regulations, as respectively codified in 5 GCA §5601 *et. seq.*, and 2 GAR, Div. 4, Chap. 11, §11101 *et. seq.*, establishes specific standards of conduct for Commissioners. This Code of Conduct is made in conjunction with those statutes and regulations and is intended to establish general standards of conduct necessary for the proper and efficient operation of the CCU.
- (d) Commissioners hold positions that involve a degree of trust and responsibility. To insure the effective regulation of the public utility laws and to maintain public confidence in the CCU, it is imperative that Commissioners avoid conduct which is in violation of their public trust. It is recognized that there might be questions of interpretation and judgment which enter into the application of this Code of Conduct, and that some Commissioners may have questions from time to time which they may like to discuss regarding the situation. Any Commissioner who has a question about his or her situation should discuss it with the CCU or its designee. Commissioners may also request an opinion from the Commission's attorney.

(e) Commissioners may not attempt to exercise individual authority over the CCU, or GPA, or GWA, except as permitted by Guam Law and Commission policies and resolutions, therefore:

(1) Commission members must recognize their authority is limited to decisions made by the Commission as a whole in their interactions with Commission, employees, staff, management, and personnel of GPA and GWA.

(2) In their interactions with the public, the press, or other entities, Commissioners must recognize the same limitation as set forth in Section 3(e) (1) above, and Commissioners must not speak for the CCU unless authorized by the CCU.

(3) Commissioners shall express their individual opinions professionally in a responsible manner without negatively impacting the CCU, GPA, or GWA, or to their relationships with other Commissioners, and the staff, management, and personnel of GPA and GWA.

(f) Commissioners must comply with Guam's Open Government Law and shall not meet officially outside of publicly noticed meetings to make decisions concerning the CCU, GPA, or GWA. However, Commissioners may meet individually or in small groups (less than the number required for a quorum of the CCU) with the staff, management, and personnel of GPA and GWA, for the purposes of gathering information or for any other purpose authorized by law.

(g) Any performance evaluations of the General Managers, Chief Financial Officers, Commission Attorneys, or other staff or personnel directly hired by, or under the purview of the CCU shall be performed in Executive Session held in accordance with Guam law.

(h) As required by Guam Law, Commissioners shall respect the confidentiality appropriate to issues regarding personnel, proprietary matters, and attorney-client privileged communications.

(i) Commissioners shall be prepared for CCU meetings, activities, and deliberations in order to exercise good business judgment in the business and affairs of GPA and GWA.

(j) Commissioners shall maintain positive, professional outlook and demeanor when making statements during CCU meetings or events, GPA or GWA activities, or at other public forums, meetings, or events, or via the media.

(k) Commissioners are vested with the duty to manage the business and affairs of GPA and GWA to the best of their ability and to use good business judgment in exercising their fiduciary duties and to protect the interests of the ratepayers concerning the efficient management and use of the assets of GPA and GWA.

(1) Commissioners shall disclose any conflicts of interest they may have in managing the business and affairs of GPA and GWA. Conflicts of interest may include but are not limited to instances where a Commissioner will personally profit from a transaction, or when a close family member of the Commissioner will profit from the transaction, or when the Commissioner serves on the board of a corporation that is transacting business with the CCU, GPA, or GWA. Commissioners shall disclose any conflicts of interests or potential conflicts of interest, to include all material facts concerning the Commissioner's relationship or interest in the transaction involved, to the CCU in the official deliberations of such transactions.

#### **Section 4. APPLICABILITY**

This Code is applicable to all Commissioners and all senior Management of GPA and GWA. If any section, subsection, paragraph, sentence or other part of this Code is adjudged unconstitutional or invalid, such judgment shall not affect, impair, or invalidate the remainder of this Code, but shall be confined in its effect to that part of the Code ruled unconstitutional or invalid.

#### **Section 5. USE OF OFFICIAL POSITION OR INFORMATION**

(a) No Commissioner shall use or attempt to use his or her official position to secure unwarranted privileges or advantages.

(b) No individual Commissioner shall willfully disclose to any person or to the public whether or not for pecuniary gain, any information not generally available to a member of the public which he or she acquires in the course of and by reason of his official duties. No Commissioner shall use for the purpose of pecuniary gain, whether directly or indirectly, any information not generally available to members of the public which he receives or acquires in the course of and by reason of his official duties.

(c) No Commissioner shall use his or her official position or authority to influence or control, in any manner whatsoever, either directly or indirectly, any information not generally available to members of the public which he receives or acquires in the course of and by reason of his official duties.


#### **Section 6. DISSEMINATION**


A copy of this Code shall be delivered to each and every new member of the CCU upon the date such new member takes office.


Section 7. EFFECTIVE DATE

This Code shall take effect upon approval by an affirmative vote of the majority of the Commissioners of the CCU.


SO APPROVED this 15<sup>th</sup> day of December, 2009 by:

  
\_\_\_\_\_  
SIMON A. SANCHEZ, R  
Chairman

  
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BENIGNO M. PALOMO  
Vice-Chairman, GPA

  
\_\_\_\_\_  
ELOY P. HARA  
Vice-Chairman, GWA

  
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GLORIA B. NELSON  
Secretary

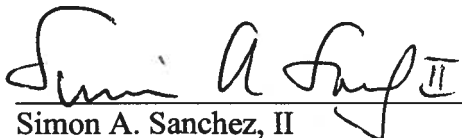
  
\_\_\_\_\_  
JOSEPH T. DUENAS  
Treasurer

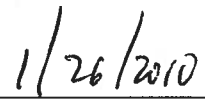
## CODE OF CONDUCT PLEDGE

For the Commissioners of the Consolidated Commission on Utilities

As a Commissioner of the Consolidated Commission on Utilities (“CCU”), I shall:

- Recognize and adhere to the Consolidated Commission on Utilities Code of Conduct as adopted.
- Listen carefully to my fellow Commissioners.
- Carefully consider and respect the opinions of my fellow Commissioners.
- Respect and support all majority decisions of the Commission
- Recognize the authority vested in the Commission.
- Participate actively in Commission meetings.
- Refer concerns about operations or other related matters to the proper authority at either the Guam Power Authority or the Guam Waterworks Authority.
- Recognize that my responsibility is to ensure that the Guam Power Authority and the Guam Waterworks Authority are efficiently managed.
- Refrain from disclosing any matter discussed during Executive Session as mandated by law.
- Not use my position for my personal advantage or that of my friends, relatives or associates.
- Disclose conflicts of interest (economic, familial or otherwise) and abstain from voting and /or attempting to influence issues in which I am conflicted.

  
Simon A. Sanchez, II  
CCU Chairman

  
Date

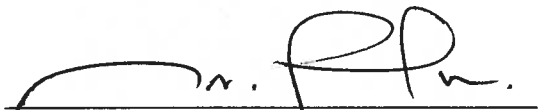
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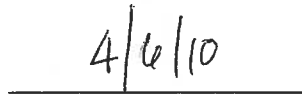
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\_\_\_\_\_  
Benigno M. Palomo  
CCU Vice Chair, Guam Power Authority

  
\_\_\_\_\_  
Date

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Eloy P. Hara  
CCU Vice-Chairman, GWA

01-26-10

Date

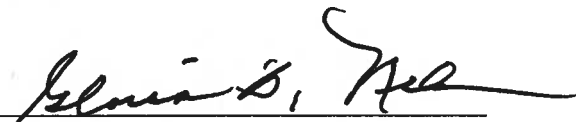
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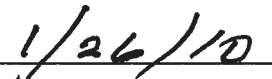
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\_\_\_\_\_  
Gloria B. Nelson  
CCU Secretary

  
\_\_\_\_\_  
Date

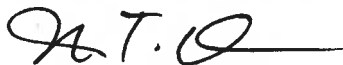
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Joseph T. Duenas  
CCU Treasurer

1/26/10  
Date

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