

California Code of Regulations

TITLE 2. California Public Employees' Retirement Law

Article 3. Public Employees' Retirement System Conflict-of-Interest Code

560. General Provisions.

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 Cal. Code of Regs. Sec. 18730) that contains the terms of a standard conflict-of-interest code, which can be incorporated by reference in an agency's code. After public notice and hearing, the standard code may be amended by the Fair Political Practices Commission to conform to amendments in the Political Reform Act. Therefore, the terms of 2 California Code of Regulations Section 18730 and any amendments to it duly adopted by the Fair Political Practices Commission are hereby incorporated by reference. This regulation and the attached Appendices, designating positions and establishing disclosure categories, shall constitute the conflict-of-interest code of the California Public Employees' Retirement System ("CalPERS").

Designated employees, consultants, board members, designees or alternates, and candidates shall file their statements of economic interests with the CalPERS filing officer, who will make the statements available for public inspection and reproduction. (Gov. Code Sec. 81008.) ~~With respect to certain employees and officials, such as board members, designees or alternates, candidates, and the chief executive officer who are determined to manage public investments, within the meaning of Government Code Section 87200,~~ CalPERS shall make and retain copies and forward the originals to the Fair Political Practices Commission. All other statements will be retained by CalPERS.

While public officials who manage investments are not required to be listed in this code, those officials are listed at the end of this document for clarity. Unlike the designated positions, these officials' reporting obligations are not limited by reference to a reporting category.

Note: Authority cited: Article XVI, Section 17, California Constitution; Sections 87200 et seq., 87300 and 87304, Government Code. Reference: Sections 87200 et seq. and 87300 et seq., Government Code.

CONFLICT-OF-INTEREST CODE

FOR THE CALIFORNIA PUBLIC EMPLOYEES' RETIREMENT SYSTEM

Appendix A
DESIGNATED POSITIONS

Assigned Disclosure Designated Positions	<u>Disclosure</u> Category
<u>Assistant Chief Counsel.....</u>	<u>1</u>
<u>Attorney (All Levels).....</u>	<u>1</u>
<u>Career Executive Assignment (All Levels)</u>	<u>1</u>
<u>Data Processing Manager IV</u>	<u>1</u>
<u>Deputy General Counsel.....</u>	<u>1</u>
<u>Research Scientist Manager.....</u>	<u>1</u>
<u>Accounting Administrator (All Levels).....</u>	<u>2</u>
<u>Associate Pension Actuary</u>	<u>2</u>
<u>Associate Program Auditor.....</u>	<u>2</u>
<u>Health Program Manager (All Levels)</u>	<u>2</u>
<u>Investment Officer (All Levels).....</u>	<u>2</u>
<u>Labor Relations Manager (All Levels)</u>	<u>2</u>
<u>Labor Relations Specialist</u>	<u>2</u>
<u>Program Auditor (All Levels).....</u>	<u>2</u>
<u>Research Manager (All Levels).....</u>	<u>2</u>
<u>Research Scientist Supervisor (All Levels)</u>	<u>2</u>
<u>Senior Life Actuary.....</u>	<u>2</u>
<u>Senior Management Auditor.....</u>	<u>2</u>
<u>Senior Pension Actuary.....</u>	<u>2</u>
<u>Senior Program Auditor (All Levels)</u>	<u>2</u>

<u>Staff Administrative Analyst (Accounting System)</u>	<u>2</u>
<u>Staff Management Auditor</u>	<u>2</u>
<u>Staff Program Auditor (All Levels)</u>	<u>2</u>
<u>Staff Services Manager (All Levels).....</u>	<u>2</u>
<u>Supervising Management Auditor</u>	<u>2</u>
<u>Supervising Pension Actuary.....</u>	<u>2</u>
<u>Health Program Specialist (All Levels)</u>	<u>3</u>
<u>Medical Consultant (All Levels).....</u>	<u>3</u>
<u>Nurse Consultant (All Levels)</u>	<u>3</u>
<u>Pharmaceutical Consultant (All Levels)</u>	<u>3</u>
<u>Research Program Specialist (All Levels)</u>	<u>3</u>
<u>Research Scientist (All Levels).....</u>	<u>3</u>
<u>Data Processing Manager (II, III)</u>	<u>4</u>
<u>Staff Services Manager (All Levels), Information Technology.</u>	<u>4</u>

~~ACTUARIAL OFFICE & EMPLOYER SERVICES BRANCH~~

~~ACTUARIAL OFFICE~~

<u>Chief Actuary.....</u>	<u>1</u>
<u>Deputy Chief Actuary</u>	<u>2</u>
<u>Associate Pension Actuary</u>	<u>2</u>
<u>Senior Pension Actuary.....</u>	<u>2</u>
<u>Supervising Pension Actuary.....</u>	<u>2</u>
<u>Senior Life Actuary.....</u>	<u>2</u>
<u>Staff Services Manager III.....</u>	<u>2</u>

~~EMPLOYER SERVICES DIVISION~~

<u>Division Chief</u>	<u>1</u>
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Staff Services Manager II (Supervising).....	2
Staff Services Manager III.....	2

ADMINISTRATIVE SERVICES BRANCH

FISCAL SERVICES DIVISION

Division Chief.....	1
Accounting Administrator (All).....	2
Staff Administrative Analyst (Accounting System).....	2
Staff Services Manager (All).....	2

HUMAN RESOURCES DIVISION

Division Chief.....	1
Labor Relations Manager I.....	2
Staff Services Manager II (Supervising).....	2
Staff Services Manager III.....	2

OPERATIONS SUPPORT SERVICES DIVISION

Division Chief.....	1
Staff Services Manager (All).....	2

STRATEGIC MANAGEMENT SERVICES DIVISION

Division Chief.....	1
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DIVERSITY PROGRAM

Diversity Program Coordinator.....	2
Staff Counsel III (Spec).....	1

ENTERPRISE PRIVACY AND PROTECTION

Privacy & Security Officer.....	2
Data Processing Manager III.....	2

EXECUTIVE OFFICE

Assistant Executive Officer (All).....1
Principal Advisor to Board President2

EXTERNAL AFFAIRS

STAKEHOLDER RELATIONS

Staff Services Manager II (Supervising).....2

OFFICE OF GOVERNMENTAL AFFAIRS

Division Chief.....1

PUBLIC AFFAIRS OFFICE

Division Chief.....1
Staff Services Manager III.....2

HEALTH BENEFITS BRANCH

OFFICE OF EMPLOYER & MEMBER HEALTH SERVICES

Division Chief.....1
Associate Governmental Program Analyst.....3
Nurse Consultant.....3
Retirement Program Specialist II (Tech).....3
Retirement Program Specialist II (Supervisor).....3
Staff Services Manager I.....3
Staff Services Manager II (Supervising).....3
Staff Services Manager III.....2

OFFICE OF HEALTH PLAN ADMINISTRATION

Division Chief.....1

Medical Consultant II	3
Nurse Consultant I	3
Pharmaceutical Consultant II	3
Research Analyst II	3
Research Program Specialist I	3
Staff Services Manager (All)	3

OFFICE OF HEALTH POLICY AND PROGRAM SUPPORT

Division Chief	1
Associate Governmental Program Analyst	3
Associate Information Systems Analyst	4
Health Program Manager III	2
Research Analyst II	3
Research Manager II	2
Research Program Specialist I	3
Research Program Specialist II	3
Staff Services Manager (All)	1

DIVISION OF OPERATIONS AND INFRASTRUCTURE SUPPORT

Division Chief	1
Associate Governmental Program Analyst	3
Staff Services Manager I	2
Staff Services Manager II (Supervising)	2

INFORMATION TECHNOLOGY SERVICES BRANCH

COMET PENSION SYSTEM RESUMPTION PROJECT

Division Chief.....	1
Business Deputy.....	2
Staff Services Manager II (Supervising).....	4
<i>ENTERPRISE TRANSITION MANAGEMENT</i>	
Division Chief.....	1
<i>INFORMATION TECHNOLOGY ADMINISTRATIVE DIVISION)</i>	
Data Processing Manager III.....	2
Data Processing Manager II.....	4
<i>INNOVATION SERVICES AND IMPLEMENTATION DIVISION</i>	
Division Chief.....	1
Data Processing Manager II.....	4
Data Processing Manager III.....	4
Data Processing Manager IV.....	4
Senior Information System Analyst (Supervising).....	4
System Software Specialist III (All).....	4
<i>PSR EMPLOYER READINESS PROJECT</i>	
Project Manager, PERT.....	2
<i>TECHNOLOGY SERVICES AND SUPPORT DIVISION</i>	
Division Chief.....	1
Data Processing Manager II.....	4
Data Processing Manager III.....	4
Data Processing Manager IV.....	4
System Software Specialist III (All).....	4

INVESTMENT OFFICE

Administrative Assistant I.....2
Administrative Assistant II.....2
Associate Governmental Program Analyst.....2
Investment Officer (All).....2
Staff Services Manager I.....2

INVESTMENT POLICY AND BUSINESS SUPPORT

Division Chief.....1
Associate Governmental Program Analyst.....2
Staff Services Manager (All).....2

AFFILIATE INVESTMENT PROGRAMS

Associate Governmental Program Analyst.....2
Investment Officer (All).....2
Retirement Program Specialist II (Tech).....2
Staff Services Manager I.....2
Staff Services Manager II (Supervising).....2

LEGAL OFFICE

Deputy General Counsel.....1
Assistant Chief Counsel.....1
Staff Counsel.....1
Staff Counsel III.....1
Staff Counsel IV.....1

OFFICE OF AUDIT SERVICES

Division Chief.....1

Associate Program Evaluator.....	2
Program Evaluator Specialist.....	2
Program Evaluator.....	2
Senior Program Evaluator Specialist.....	2
Senior Program Evaluator.....	2
Staff Program Evaluator.....	2
Staff Program Evaluator Specialist.....	2
Staff Management Auditor.....	2
Supervising Management Auditor.....	2

OFFICE OF ENTERPRISE COMPLIANCE

Chief Compliance Officer.....	2
Investment Officer I.....	2
Staff Services Manager II (Supervising).....	2

MEMBER AND BENEFIT SERVICES BRANCH

BENEFIT SERVICES DIVISION

Division Chief.....	1
Staff Services Manager III.....	2

CUSTOMER SERVICE AND EDUCATION DIVISION

Division Chief.....	1
Staff Services Manager III.....	2

MEMBER SERVICES DIVISION

Division Chief.....	1
Staff Services Manager II (Supervising)(JLRS).....	2
Staff Services Manager III.....	2

~~OFFICE OF POLICY AND PROGRAM DEVELOPMENT~~

~~Division Chief.....1~~

~~Staff Services Manager I.....2~~

~~R STREET PROJECT~~

~~Division Chief.....1~~

CONTRACTS FOR SERVICES

Consultants Who Do Not Manage Public Investments/New Positions*

*Consultants/New Positions shall be included in the list of designated positions and shall disclose pursuant to the broadest disclosure category in the code, subject to the following limitation:

The General Counsel may determine in writing that a particular consultant or new position, although a “designated position,” 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 in this section. Such written determination shall include a description of the consultant's or new position’s duties and, based upon that description, a statement of the extent of disclosure requirements. The General Counsel’s determination is a public record and shall be retained for public inspection in the same manner and location as this conflict of interest code. (Gov. Code Sec. 81008.)

Note: The “All” reference for designated positions include all levels within the classification series.

CONFLICT-OF-INTEREST CODE

CALIFORNIA PUBLIC EMPLOYEES' RETIREMENT SYSTEM

**APPENDIX B
DISCLOSURE CATEGORIES**

Category 1

Designated individuals in Category 1 must report:

All investments and business positions in business entities, and income (including gifts, loans, and travel payments).

All interest in real estate located in whole or in part within the State of California.

Category 2

Designated individuals in Category 2 must report:

All investments and business positions in business entities, and income (including gifts, loans, and travel payments) from sources which are of the type (1) to contract with CalPERS, (2) in which funds administered by the Board may be invested (including securities, real estate and business entities), or (3) to act as finder, solicitor, marketer, consultant, broker, placement agent or other intermediary to a contract or investment referenced in (1) or (2) above.

All interest in real estate located in whole or in part within the State of California.

Category 3

Designated individuals in Category 3 must report:

All investments and business positions in business entities, and income (including gifts, loans, and travel payments) from sources which are of the type (1) to contract with CalPERS to provide health care services or (2) to act as a finder, solicitor, marketer, consultant, broker, placement agent or other intermediary to a contract referenced in (1).

Category 4

Designated individuals in Category 4 must report:

All investments and business positions in business entities, and income (including gifts, loans, and travel payments) from sources which are of the type (1) to sell, rent or lease information technology equipment, hardware, software, facilities, supplies or services to CalPERS or (2) to act as a finder, solicitor, marketer, consultant, broker, placement agent or other intermediary to any goods or services referenced in (1).

Note: (1) All disclosure categories are subject to exceptions and limitations as provided for in the Political Reform Act and regulations adopted by the Fair Political Practices Commission. (2) Designated individuals with multiple positions listed in the code, shall file with the broadest disclosure category.

AGENCY POSITIONS THAT MANAGE PUBLIC INVESTMENTS FOR PURPOSES OF SECTION 87200 OF THE GOVERNMENT CODE

It has been determined that individuals in the positions listed below are officials who manage public investments, within the meaning of Government Code section 87200, and will file the Form 700 Statement of Economic Interests:

Board Members

Chief Actuary

Chief Executive Officer

Chief Financial Officer

Chief Investment Officer

Chief Operating Investment Officer

~~Deputy Executive Officer~~

~~Director of External Affairs~~

General Counsel

Portfolio Manager ~~(All)~~

Senior Investment Officer ~~(All)~~

Senior Portfolio Manager ~~(All)~~

Consultants Who Manage Public Investments

Note: Authority cited: Article XVI, Section 17, California Constitution; Sections 87200 et seq., 87300 and 87304, Government Code. Reference: Sections 87200 et seq. and 87300 et seq., Government Code.