

In the matter of a Repository File for )  
The Collection and Distribution of )  
Documents Pertaining to the Ethics )  
Review at the Missouri Public Service )  
Commission )

Interested persons may also submit written comments at any point during the rulemaking process by filing them this matter through the Commission's EFIS system. The docket in this matter also contains additional resources for the project, including a database collecting other state utility commissions' ethics rules and a document summarizing this database.

In addition to this meeting, there will be further opportunities for interested parties to comment on the initial draft rules at public meetings, which are to be set in late May or early June.

( S E A L )

**BY THE COMMISSION**

A handwritten signature in black ink, appearing to read 'Colleen M. Dale', written over a horizontal line.

Colleen M. Dale  
Secretary

Dated at Jefferson City, Missouri,  
on this 23<sup>rd</sup> day of April, 2009.

Woodruff, Deputy Chief Regulatory Law Judge

## Agenda

- I. Overview of the project and anticipated rule-making process
- II. Discussion of ethical issues to receive attention in the rulemaking process
  - A. Areas where substantial rulemaking or revisions are anticipated
    - 1. Clarification of application of limits on *ex parte* communications
      - a. Should application of *ex parte* rules be determined by type of proceeding (California model)
      - b. Should application of *ex parte* rules be determined by role of staff (Washington model)
      - c. Should *ex parte* rules apply in certain types of proceedings upon election of a party or the Commission (New Hampshire model)
    - 2. Broadening conflict of interest standards to include conflicts that arise from non-financial relationships or obligations
    - 3. Limits on use of Commission property
    - 4. Limits on public statements regarding pending matters
    - 5. Clarification of Commissioner responsibility for their staff
    - 6. Improvements in systems for responding to and remedying rules violations
    - 7. Improved ethics training and opportunities for guidance as issues arise
  - B. Areas where substantial rulemaking may be evaluated
    - 1. Limits on third-party payment for Commission or staff travel or education
    - 2. Guidance on permissibility of speaking, writing, and teaching
    - 3. Limits on political activities and fundraising
    - 4. Guidance on offering recommendations for Commission staff
    - 5. Guidance on seeking post-Commission employment
  - C. Areas where existing rules appear largely adequate
    - 1. Use of Commission information
    - 2. Prohibitions on the receipt of gifts
    - 3. Financial conflict-of-interest rules
    - 4. Limits on payments from former employers
    - 5. Limits on post-employment work before the Commission or on Commission-related matters

III. Other issues that should receive attention during rule-making process