

# **HUDSON RIVER – BLACK RIVER REGULATING DISTRICT CODE OF ETHICS**

This Code of Ethics shall apply to all board members, officers and employees of the Hudson River – Black River Regulating District (“Regulating District” or “Authority”). These policies shall serve as a guide for official conduct and are intended to enhance the ethical and professional performance of the Authority's board members, officers and employees and to preserve public confidence in the Authority’s mission.

## **Responsibility of Board Members, Officers and Employees**

1. Board members, officers, and employees shall perform their duties with transparency, without favor and refrain from engaging in outside matters of financial or personal interest, including other employment, that could impair independence of judgment, or prevent the proper exercise of one's official duties.
2. Board members, officers and employees shall not directly or indirectly, make, advise, or assist any person to make any financial investment based upon information available through the director's, officer's, or employee's official position that could create any conflict between their public duties and interests and their private interests.
3. Board members, officers and employees shall not accept or receive any gift or gratuities where the circumstances would permit the inference that: (a) the gift is intended to influence the individual in the performance of official business or (b) the gift constitutes a tip, reward, or sign of appreciation for any official act by the individual. This prohibition extends to any form of financial payments, services, loans, travel reimbursement, entertainment, hospitality, thing or promise from any entity doing business with or before the Regulating District.
4. Board members, officers and employees shall not use or attempt to use their official position with the Regulating District to secure unwarranted privileges for themselves, members of their family or others, including employment with the Authority or contracts for materials or services with the Authority.
5. Board members, officers and employees must conduct themselves at all times in a manner that avoids any appearance that they can be improperly or unduly influenced, that they could be affected by the position of or relationship with any other party, or that they are acting in violation of their public trust.
6. Board members, officers and employees may not engage in any official transaction with an outside entity in which they have a direct or indirect financial interest that may reasonably conflict with the proper discharge of their official duties.
7. Board members, officers and employees shall manage all matters within the scope of the Authority’s mission independent of any other affiliations or employment. Board members, officers and employees employed by more than one government shall strive to fulfill their professional responsibility to the Regulating District without bias and shall support the Authority’s mission to the fullest.
8. Board members, officers and employees shall not use Regulating District property, including equipment, telephones, vehicles, computers, or other resources, or disclose information acquired in the course of their official duties in a manner inconsistent with State or local law or policy and the Authority’s mission and goals.

9. Board members, officers and employees are prohibited from appearing or practicing before the Regulating District for two (2) years following employment with the Authority, consistent with the provisions of Public Officers Law.

### **Implementation of Code of Ethics**

This Code of Ethics shall be provided to all board members upon appointment by the governor and to all officers and employees upon commencement of employment or appointment and shall be reviewed annually by the Governance Committee.

The board hereby designates the Regulating District's General Counsel as the Ethics Officer, who shall report to the board and shall have the following duties:

- Counsel in confidence Authority board members, officers and employees who seek advice about ethical behavior.
- Receive and investigate complaints about possible ethics violations.
- Dismiss complaints found to be without substance.
- Prepare an investigative report of their findings for action by the Executive Director or the board.
- Record the receipt of gifts or gratuities of any kind received by a board member, officer or employee, who shall notify the Ethics Officer within 48 hours of receipt of such gifts and gratuities.

### **Penalties**

In addition to any penalty contained in any other provision of law, Regulating District board members, officers or employees who knowingly and intentionally violate any of the provisions of this code may be removed in the manner provided for in law, rules or regulations.

### **Reporting Unethical Behavior**

Officers, employees and board members are required to report possible unethical behavior by an officer, board member or employee to the Regulating District's Ethics Officer. Officers, employees and board members may file ethics complaints anonymously and are protected from retaliation by the policies adopted by the Regulating District.