

## Code of Ethics

The Onondaga County Resource Recovery Agency (“OCRRA” or “the Agency”), in compliance with the Public Authorities Accountability Act of 2005, has adopted the following Code of Ethics applicable to each Agency Board Member and employee:

### I. State Law Restrictions Concerning Board Member Appointments:

Section 2825 of the Public Authorities Law (2005) provides that officials having the authority to appoint members to the Agency Board shall take such actions as may be necessary to ensure that no Board Member is appointed or remains on the Agency Board who:

- A. Is or, in the last two years, has been employed by the Agency in an executive capacity (Executive Director, Agency Counsel, Business Officer, Transfer or Recycling Director).
- B. Is or, in the last two years, has been employed by a non-governmental entity that received more than \$15,000.00 from the Agency as a result of contracts for goods and/or services provided to the Agency.
- C. Is or, in the last two years, has been employed by a non-governmental entity that received more than \$15,000.00 of any other form of financial assistance from the Agency.
- D. Is a relative of an executive officer or employee in an executive position of the Agency. Executive officers and executive positions include the Agency’s Executive Director, Agency Counsel, Business Officer, as well as, Transfer and Recycling Directors.
- E. Is or, in the last two years, has been a lobbyist registered under a state or local law and paid by a client to influence any management decisions, contract awards, tipping fees, or any other similar actions of the Agency.

### II. Annual Financial Disclosure Statements:

- A. Board Members and executive employees of the Agency shall file Annual Financial Disclosure Statements with the Onondaga County Board of Ethics pursuant to Section 812 Subdivision 3 (a) and (b) of the General Municipal Law. Such filing shall be submitted on the attached form by May 15 of the next succeeding year following that for which the Annual Financial Disclosure Statement applies.

III. General Agency Ethics Guidelines:

A. No Board Member or employee of the Agency shall:

1. Accept other employment which will impair his/her independence of judgment in the exercise of his/her official duties as an Agency Board member or employee including, but not limited to, employment with a hauler under contract with the Agency, material recovery facility or vendor doing business, or who could likely do business, with the Agency.
2. Accept employment or engage in any business or professional activity or outside organization that would require him/her to disclose confidential information which he/she has gained by reason of his/her official position or authority with the Agency
3. Disclose confidential information acquired by him/her in the course of his/her official duties nor use such information to further his/her personal interests.
4. Use or attempt to use his/her official position with OCRRA to secure unwarranted privileges for himself/herself, members of his/her family or others, including employment with the Agency or with an entity that does business with the Agency or contracts for materials or services with the Agency.
5. Engage in any transaction as a representative or agent of OCRRA with any business entity in which he/she has a direct or indirect financial interest that might reasonably tend to conflict with the proper discharge of his/her official duties as an Agency Board Member or employee.
6. By his/her conduct give reasonable basis for the impression that any person can improperly influence him/her or unduly enjoy his/her favor in the performance of his/her official duties as an Agency Board Member or employee or that he/she is affected by the kinship, rank, position or influence of any party or person.
7. Make personal investments in enterprises which he/she has reason to believe may be directly involved in decisions to be made by him/her as an Agency Board Member or employee or which will otherwise create substantial conflict between his/her duty in the public interest as an Agency Board Member or employee and his/her private interest.
8. Pursue a course of conduct which will raise suspicion among the public that he/she is likely to be engaged in acts that are in violation of his/her trust as an Agency Board Member or employee such as being a named

party to a lawsuit against the Agency, either individually or as a controlling member of an outside organization.

9. Sell goods or services to any firm, person, corporation or association which is permitted by, or under contract as a hauler with, the Agency or whose rates are fixed by the Agency, if the Board Member or employee is a member of that firm, corporation or association, owns a substantial ownership interest or stock therein (i.e. 5% or more), or is employed full or part time therewith.
10. Without the knowledge of an officer of the Board (i.e. Chair, Vice Chair, or Treasurer), directly or indirectly solicit or accept any gift or gifts during any one calendar month period having a combined value of twenty-five dollars (\$25.00) or more, and/or a combined annual value of seventy-five (\$75.00) or more, whether in the form of meals, drinks, money, service, loan, travel, tickets, entertainment, hospitality, things or promises, or gifts in any other form, under circumstances in which it could reasonably be inferred that the gift was intended to influence him/her in the performance of his/her official duties as an Agency Board Member or employee or was intended as a reward for any official action;
11. Enter into any agreement, express or implied, for compensation for services to be rendered in relation to any matter before the Agency, whereby the Board Member or Agency employee's compensation is to be dependent or contingent upon any action by the Agency with respect to such matter.
12. Engage in any business transaction directly or indirectly which might tend to affect his/her judgment in any official act or create a conflict with his/her official duties as Agency Board Member or employee.
13. During employment with the Agency or Board membership, knowingly enter into an investment or interest, legal or beneficial, directly or indirectly, in any property, real or personal in conflict with his/her official duties.
14. Accept the extension of credit or renewal of credit, directly or indirectly, or any personal loan from the Agency.
15. For a two (2) year period after the termination of service or employment, appear before this Agency or render services on behalf of any person, firm, corporation or association, other than the Agency itself, in relation to any matter with respect to which such Board Member or employee was directly concerned or in which he/she personally participated during the period of his/her service or employment of which was under his/her active consideration, until

such matter has been finally disposed of, nor shall said Board Member, or employee receive or agree to receive any compensation with respect to such matter. Nothing herein contained shall prevent or bar an employee or Board Member, after the termination of service or employment, from rendering contractual services to the Agency and being compensated therefore, to the extent the then current Board deems it to be in the interest of the Agency to retain said former Board Member or employee.

- B. All non-governmental persons, firms or corporations rendering services to the Agency as contractors, consultants or in any other professional capacity, whether paid or unpaid, shall first file with the Agency a written affidavit which states that the “party agrees that it has no interest and will not acquire any interest, direct or indirect, that would conflict in any manner or degree with the performance of the services to be rendered to the Agency and that the party further agrees that, in the rendering of services to the Agency, no person having any such interest shall knowingly be employed by it.”
- C. No Board Member, including the Board Chair, shall serve as the Agency’s Executive Director, Agency Counsel, Transfer or Recycling Director or Business Officer while serving as a Member of the Board.
- D. To the extent that he/she knows thereof, a Board Member or employee of the Agency who participates in the discussion of any matter, or gives any official opinion to the Board on a matter, shall disclose the nature and extent of any outside direct financial or other private interest he/she has in any such matter.
- E. If a Board Member or an employee receives a gift or gratuity of any kind from a principal, employee or agent of a firm or business over which the Agency has regulatory authority (i.e. haulers and material recovery facilities) or which does or has done business with the Agency, having a value in excess of twenty-five dollars (\$25.00), the Board Member or employee must forward the gift or gratuity to the Agency Ethics Officer. The Agency Ethics Officer will then return the gift or gratuity to the giver or, in the case of a perishable food item, will dispose of same. Agency employees that perform direct services for the public, haulers or other businesses shall not accept tips or gratuities (in the form of cash or cash equivalents) for their customer service, including assistance provided as part of their job responsibilities to residential, business or hauler customers. The Agency Ethics Officer shall keep a record of all such reported matters. Failure to report any such gift or gratuity by an Agency employee shall be a basis for disciplinary action including, where appropriate, discharge.

IV. PUBLIC AUTHORITIES LAW PROHIBITION AGAINST INTEREST IN CONTRACTS.

New York Public Authorities Law Section 2045-q provides as follows:

“It shall be a misdemeanor for any member of the governing body or any officer, agent, servant or employee of the Agency to be in any way or manner interested, directly or indirectly, in the furnishing of work, materials, supplies or labor, or in any contract therefore which the Agency is empowered by this title to make.”

V. IMPLEMENTATION OF THE CODE OF ETHICS

- A. A copy of this Agency Code of Ethics will be distributed by the Agency’s Ethics Officer to all employees on commencement of employment, to Board Members when they are appointed to the Board and distributed annually thereafter by the Agency’s Ethics Officer to all Board Members and employees. It will also be posted in prominent places in all Agency offices and facilities as well as on the Agency’s Internet web site.
- B. The Confidential Internal Controls Compliance Officer shall be designated as the Agency’s Ethics Officer. The functions of the Ethics Officer shall be:
  - 1. To counsel, in confidence, employees and Board Members who seek advice in advance about potential ethics issues. The advice of the Agency’s Ethics Officer is given to assist Board Members and employees in their decision on a course of action under this Code of Ethics. It is advisory only. It is the responsibility of Board Members and employees to independently familiarize themselves with this Agency Code of Ethics.
  - 2. To receive and investigate information received about possible ethics violations in the Agency. The Ethics Officer should forward the information received with an investigative report to the Audit Committee and to the Executive Director. If the Audit Committee determines that a probable Code of Ethics violation has occurred involving a Board Member or former Board Member, they shall advise an officer of the Board for possible Board action. The Executive Director shall have responsibility to deal with probable Ethics violations involving Agency employees.
  - 3. To advise the Audit Committee of any situation where an employee has reported an unusual or unacceptable number of gifts or gratuities received (i.e. more than five per year), whether from one or several sources.

4. The Agency Ethics Officer will counsel with the Agency's Audit Committee about any personal ethics issues he/she may have.
- C. As to alleged Ethics Code violations involving Agency employees or former employees, the Executive Director shall then either:
1. Dismiss the complaint, or
  2. Take appropriate disciplinary action under the Agency Work Rules and/or
  3. Forward the complaint to the appropriate authorities for possible criminal review and/or action, or
  4. Where applicable, recommend to the Board that legal action be taken to enjoin the violation or to seek money damages on behalf of the Agency.
- D. As to alleged Ethics Code violations involving Board Members, the Agency's Executive Director, Agency Counsel or Confidential Internal Controls Compliance Officer, the Agency Board shall:
1. Dismiss the complaint, or
  2. Forward the complaint to the appropriate authorities for possible criminal review/action, or
  3. Seek guidance from the NYS Attorney General or Comptroller as to an appropriate course of action
  4. Where applicable, refer the matter to the Board Members' appointing authority for any action that entity may deem appropriate, or
  5. Where applicable, recommend to the Board that legal action be taken to enjoin the violation or to seek money damages on behalf of the Agency.
  6. Commence an action for removal of that Board Member in accordance with Public Authorities Law Section 2045-c (1) for the same reasons, and in the same manner, as may be provided by law for the removal of officers of Onondaga County.
  7. Where appropriate, take disciplinary action.

Adopted by Resolution No. 156, of August 14, 1991  
 Amended by Resolution No. 494, of December 8, 1993  
 Amended by Resolution No. 529, of March 9, 1994  
 Amended by Resolution No. 1443, of September 14, 2005  
 Amended by Resolution No. 1470, of February 8, 2006  
 Amended by Resolution No. 1771, of December 14, 2011  
 Amended by Resolution No. 1775, of February 8, 2012

ANNUAL STATEMENT OF FINANCIAL DISCLOSURE  
 FOR ONONDAGA COUNTY RESOURCE RECOVERY AGENCY  
 FOR CALENDAR YEAR \_\_\_\_\_  
 FOR ALL BOARD MEMBERS AND MANAGEMENT LEVEL EMPLOYEES\*

1. Your Name \_\_\_\_\_

2. (a) Title of Onondaga County Resource Recovery Agency Position \_\_\_\_\_

(b) Present Business or Home Address \_\_\_\_\_  
 \_\_\_\_\_

(c) Present Business or Home Telephone Number \_\_\_\_\_

\* THIS FORM IS REQUIRED FOR THE AGENCY'S EXECUTIVE DIRECTOR, AGENCY COUNSEL, BUSINESS OFFICER, DEPARTMENT DIRECTORS AND ANY AGENCY EMPLOYEES IN AUDITING OR PURCHASING POSITIONS. IT MUST BE FILED BY MAY 15 OF THE YEAR SUCCEEDING THAT FOR WHICH IT APPLIES WITH THE **ONONDAGA COUNTY BOARD OF ETHICS, 14<sup>TH</sup> FLOOR CIVIC CENTER, SYRACUSE, NEW YORK 13202.**

3. (a) Your Present Marital Status \_\_\_\_\_. If married, please give spouse's full name, including maiden name where applicable.  
 \_\_\_\_\_

(b) List the names and ages and place of employment of any child. For purposes of completing this statement "child" is defined as a son, daughter, step-son or step-daughter under 18 years of age or a dependent as defined by the Internal Revenue Code.

<u>Name</u>	<u>Age</u>	<u>Employer</u>

4. (a) "Reporting Category." For the purpose of completing the statement of financial disclosure, no exact dollar amounts are to be included. Rather, whenever a value or amount is required to be reported herein, such value or amount shall be reported as being within one (1) of the following categories:

- Category A: \$0 - \$10,000
- Category B: \$10,001 - \$50,000
- Category C: Over \$50,000

(b) List the location of any real property within the County or within five miles of the County in which he or she, or his or her spouse or his or her dependent child, has an ownership or other financial interest:

<u>Family Member</u>	<u>Location</u>	<u>Reporting Category</u>

(c) List the name of any partnership, unincorporated association, or other unincorporated business, of which he or she, or his or her spouse, or his or her dependent child, is a member, officer or employee, or in which he or she, or his or her position, and his or her spouse's position, or his or her dependent child's position, if any, with the partnership, association, or business;

<u>Family Member</u>	<u>Name and Address of Organization</u>	<u>Position</u>	<u>Reporting Category</u>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

(d) List the name of any corporation of which he or she, or his or her spouse, or his or her dependent child, is an officer, director, or employee, or of which he or she, or his or her spouse, or his or her dependent child, legally or beneficially owns or controls more than five percent of the outstanding stock, and his or her position, and his or her spouse's position, or his or her dependent child's position, if any, with the corporation; and

<u>Family Member</u>	<u>Name and Address of Organization</u>	<u>Position</u>	<u>Reporting Category</u>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

(e) List the name and description of any outside employment from which he or she, or his or her spouse, or his or her dependent child, has derived, during the previous calendar year, gross income in excess of two thousand dollars.

<u>Family Member</u>	<u>Name and Address of Organization</u>	<u>Position</u>	<u>Reporting Category</u>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

(f) List each source of gifts, in excess of \$1,000, received during the reporting period for which this statement is filed by the reporting individual or such individual's spouse or dependent child from the same donor, excluding gifts from a relative. Include the name and address of the donor. The term "gifts" does not include reimbursements, which term is defined in item (g) herein. Indicate the value and nature of each such gift.

<u>Family Member</u>	<u>Name and Address of Organization</u>	<u>Position</u>	<u>Reporting Category</u>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

(g) Identify and briefly describe the source of any reimbursements for expenditures and expenditures in connection with official duties reimbursed by OCRRA for which this statement has been filed, in excess of \$1,000 from each such source. For purposes of this item, the term "reimbursements" shall mean any travel-related expenses provided by non-governmental sources and for activities related to the reporting individual's official duties such as, speaking engagements, conferences, or fact-finding events. The term "reimbursements" does not include gifts reported under item (f) herein.

<u>Source</u>	<u>Description</u>	<u>Reporting Category</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

5. If a reporting Board member or management employee is not able, after reasonable efforts, to obtain some or all of the information required by paragraph four of this section which relates to his or her spouse or household member, he or she shall so state, as part of the annual disclosure statement.

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6. If a reporting Board member or management employee practices law, is licensed by the department of state as a real estate broker or agent or practices a profession licensed by the department of education, his or her annual disclosure statement shall include a general description of the principal subject areas of matter undertaken by such Board member or management employee in his or her licensed practice. If such Board member or management employee practices with a partnership, unincorporated association or corporation and is a partner or shareholder of the firm or corporation his or her annual disclosure statement shall include a general description of the principal subject areas of matters undertaken by such firm or corporation. The disclosure required by this section shall not include the names of individual clients, customers or patients.

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\_\_\_\_\_

I hereby certify under penalty of perjury, that the information disclosed on this form is true and complete.

\_\_\_\_\_  
Name

Sworn to before me this \_\_\_\_\_  
day of \_\_\_\_\_.

\_\_\_\_\_  
Notary Public