

**Dutchess County Resource Recovery Agency
Code of Ethics**

Adopted 3/18/2010

This Code of Ethics shall apply to all officers, Board Members and employees of the Dutchess County Resource Recovery Agency (the “Agency”, or “RRA”). These policies shall serve as a guide for official conduct and are intended to enhance the ethical and professional performance of the Agency's Board Members and employees, as well as to preserve public confidence in the Agency's execution of its mission and statutory purpose.

Responsibility of Agency Board Members and Employees

1. Board Members 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 and employees shall not, directly or indirectly, make, advise, or assist any person to make any financial investment based upon information received through the Board Member's or employee's official position that could create any conflict between their public duties and interests, and their private interests.
3. Board Members and employees shall not, directly or indirectly, solicit or receive any remuneration, whether in the form of cash, check, loan, credit or any other form in any amount, or accept any gifts having a cumulative value of seventy-five dollars (\$75 US) or more over any twelve-month calendar period from any one individual or firm, whether in the form of money, services, loan, travel, entertainment, hospitality, thing or promise, or any other form, under circumstances in which it could reasonably be inferred that the gift was intended to influence, or reasonably be expected to influence, him/her in the performance of Agency duties or was intended as a reward for any Agency action.
4. Board Members and employees shall not use or attempt to use their official position with the Agency to secure unwarranted privileges for themselves, members of their immediate family or others, including employment with the Agency or contracts for materials or services with the Agency.
5. Section 2047q of the NYS Public Authorities Law declares it to be a misdemeanor for any Board member or 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 that title to make.

6. Board Members 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.

7. Board Members and employees may not engage in any 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.

8. Board Members and employees shall not accept compensation or enter into any agreement, express or implied, for compensation, direct or indirect, for services to be rendered in relation to any matter before the Agency without full disclosure and Agency Board approval.

9. Board Members and employees shall publicly disclose on the official record the nature and extent of any direct or indirect interest they may have in any matter before the Agency Board as soon as he or she has knowledge of such actual or prospective interest.

For purposes of this policy, an “interest” shall be defined as a direct or indirect pecuniary or material benefit accruing to an Agency officer, board member or employee as the result of a contract with the Agency. Under this policy an Agency officer, board member or employee shall be deemed to have an interest in the contract of: (a) his/her spouse, minor children and dependents, except a contract of employment with the Agency; (b) a firm, partnership or association of which such Agency officer, board member or employee is a member or employee; (c) a corporation of which such Agency officer, board member or employee is an officer, director or employee; and (d) a corporation of which any stock is owned or controlled directly or indirectly by such Agency officer, board member or employee.

For purposes of this policy, a “contract” shall be defined as any claim, account or demand against or agreement with the Agency, express or implied.

10. Board Members and employees shall manage all matters within the scope of the Agency’s mission independent of any other affiliations or employment. Board Members and employees employed by, or serving as member of a governing board, of more than one government entity, shall strive to fulfill their professional responsibility to the Agency without bias and shall support the Agency’s mission to the fullest.

11. Board Members and employees shall use Agency property, including equipment, telephones, vehicles, computers, or other resources, only for Agency purposes, and in a manner consistent with State or local law, regulation, and/or other duly-adopted Agency policy, code or standard.

12. Board Members and employees shall not disclose any confidential or privileged information acquired in the course of their official duties, nor disclose such information

in a manner inconsistent with State or local law, regulation, and/or any duly-adopted Agency policy, code or standard.

13. Board Members and employees are prohibited from appearing or practicing before the Agency for one (1) year following their term of office, except on his/her own behalf. This provision shall not preclude a Board Member or former staff member/employee from performing work on behalf of the Agency as a consultant with the approval of the Agency Board.

14. The Executive Director of the RRA shall be required to make financial disclosure in a form and manner as prescribed by the Dutchess County Code of Ethics, as promulgated by Local Law No. 7 of 2000, Local Law No. 2 of 2001, Local Law No. 7 of 2001, and Local Law No. 5 of 2004.

Implementation of Code of Ethics

This Code of Ethics shall be provided to all Board Members and employees, who shall acknowledge receipt in writing, upon commencement of employment or appointment and shall be reviewed annually by the Agency's Governance Committee.

The Chairman of the Agency's Audit Committee shall also hold the title as the Agency's Ethics Officer unless otherwise determined by resolution of the Agency's Board.

The Agency's Ethics Officer shall report to the full Agency Board and shall have the following duties:

- Counsel in confidence Agency Board Members, staff and employees who seek advice about ethical behavior.
- Receive and investigate complaints about possible ethics violations.
- Dismiss complaints found to be without substance.
- Where appropriate, prepare an investigative report of their findings for action by the Executive Director or the Agency's Board.
- Record the receipt of gifts or gratuities of any kind received by Agency Board Members and employees, who shall notify the Agency's Ethics Officer within 48 hours of receipt of such gifts and gratuities.

Reporting Unethical Behavior

Employees and Board Members are required to report possible unethical behavior by a board member or employee of the Agency to the Ethics Officer. Employees and Board Members may file ethics complaints anonymously and are protected from retaliation by the Whistleblower Policy adopted by the Agency.

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