

# **CODE OF ETHICS**

## **Adopted November 14, 2007**

This Code of Ethics shall apply to all officers and employees of the Dutchess County Water and Wastewater Authority. Further, the Board shall establish and maintain written policies and procedures governing all Authority employees which shall include standards of conduct which are no less stringent than the policies established herein. These policies shall serve as a guide for official conduct and are intended to enhance the ethical and professional performance of the Authority's directors and employees and to preserve public confidence in the Authority's mission.

### **Responsibility of Directors and Employees**

1. Directors 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. Directors 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 or employee's official position that could create any conflict between their public duties and interests and their private interests.
3. Directors 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) or more over any twelve (12) month 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 Authority duties or was intended as a reward for any Authority action.
4. Directors and employees shall not use or attempt to use their official position with the Authority 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. In accordance with Section 1137 of the Authority's enabling statute, it shall be a misdemeanor for any Director or any officer, agent, servant or employee of the Authority to be in any way or manner interested, directly or indirectly, in the furnishing or work, materials, supplies or labor, or in any contract therefor which the authority is empowered by this title to make.

6. Directors 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. Directors 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.

8. Directors 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 Authority without full disclosure and Authority Board approval.

9. Directors 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 Board as soon as he or she has knowledge of such actual or prospective interest.

10. Directors and employees shall manage all matters within the scope of the Authority's mission independent of any other affiliations or employment. Directors, including ex officio board members, and employees employed by more than one government shall strive to fulfill their professional responsibility to the Authority without bias and shall support the Authority's mission to the fullest.

11. Directors and employees shall not use Authority 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.

12. Directors and employees are prohibited from appearing or practicing before the Authority for one (1) year following their term of office, except on his/her own behalf. This provision shall not preclude a Director from performing work on behalf of the Authority as a consultant.

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

This Code of Ethics shall be provided to all directors and employees upon commencement of employment or appointment and shall be reviewed annually by the Governance Committee. The board may designate an Ethics Officer, who shall report to the board and shall have the following duties:

- Counsel in confidence Authority directors 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 director 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, an Authority director or employee who knowingly and intentionally violates any of the provisions of this code may be removed in the manner provided for in law, rules or regulations.

### **Reporting Unethical Behavior**

Employees and directors are required to report possible unethical behavior by a director or employee of the Authority to the Ethics Officer. Employees and directors may file ethics complaints anonymously and are protected from retaliation by the policies adopted by the Authority.