

CHAUTAUQUA COUNTY ETHICS BOARD (CCEB)

MEETING AGENDA

First Meeting of CY2024

Wednesday, April 10, 2024

1 p.m.

Room 331

Gerace Office Building

3 North Erie St.

Mayville, NY 14757

- I. Call to order: confirm proper public notification was completed.
- II. Review and approve October 25, 2023 minutes.
- III. Membership
- IV. Review correspondence.
- V. Discuss Approvals of Payroll.
- VI. Review and approve 2023 Annual Report.
- VII. Status of Annual Code of Ethics Training for County Employees and Board Members.
- VIII. Status of Financial Disclosure forms.
- IX. Next meeting: May 15, 2024 at 1 p.m. in Room 331 of the GOB in Mayville.
- X. Meeting adjourned.

CHAUTAUQUA COUNTY ETHICS BOARD MEETING MINUTES

DATE: October 25, 2023

LOCATION: Room 149, Gerace Office Building, 3 North Erie Street,
Mayville, New York 14757

TIME: 1:03 – 1:50 p.m.

MEMBERS PRESENT: John Hamels
John Marengo
Darlene Nygren
Stephanie Stevens

MEMBER ABSENT: Diane Hannum

OTHERS PRESENT: Amanda Gallagher from the County Executive's Office
Kristen Wright from the County Law Department
Respondent for Case No. 2023-09

CALL TO ORDER & PUBLIC NOTIFICATION:

John M. called the meeting to order at 1:03 p.m.

Amanda confirmed proper public notification was completed as the notice of today's meeting was posted on the county website on October 6, 2023 and was sent out to the local media on October 11, 2023. It also appeared in the Post-Journal's "Briefly" section on October 17, 2023.

REVIEW CORRESPONDENCE:

John M. reported that there was no mail in the Board's P.O. Box, with the exception of a notice about the Board's P.O. Box change of address form not being processed. John M. and Amanda will get this sorted out with the post office.

Amanda reported that ERF D-23-02 for Case No. 2023-07 was received and will be reviewed later in the meeting.

Darlene entered the meeting at 1:06 p.m.

APPROVAL OF MINUTES:

Darlene motioned to approve the minutes from the September 13, 2023 meeting, which was seconded by Stephanie. All in favor with John H. abstaining from voting as he was not present at the last meeting.

STATUS OF ANNUAL CODE OF ETHICS TRAINING FOR COUNTY EMPLOYEES:

Amanda provided an update on the 2023 Code of Ethics Training. There were 2 county employees who still needed to complete the ethics training. Of them, one employees is still out on medical leave and will be required to complete the training upon their return to work, and one employee has returned to work and submitted an extension request form for the Board's review.

The Board reviewed and approved Extension Request Form #T-23-13.

STATUS OF FINANCIAL DISCLOSURE FORMS:

Amanda reported that so far for 2023, a total of 374 forms have been reviewed and approved by the Board as of October 24, 2023. In addition, there is 1 form still pending review, 2 forms that were sent back for correction, and 3 forms with an upcoming due date.

The Board reviewed and approved Extension Request Form #D-23-02 for Case No. 2023-07. Case No. 2023-07 is now closed.

DISCUSS 2023 ANNUAL REPORT:

John H. and Diane's terms on the Board expire on 1/31/2024. John H. seeks re-appointment. Diane was not present at today's meeting so Amanda will follow-up with her to see if she wishes to be re-appointed.

John M. and Amanda will work on drafting the 2023 Annual Report, which will be reviewed by the Board at its first meeting in 2024.

The Board also set its tentative meeting dates for 2024. This includes: April 10, May 15, September 18, and October 16. All meetings would be held at 1 p.m. at the Gerace Office Building in Mayville, N.Y.

RETURN TO REVIEW OF CORRESPONDENCE:

John H. motioned to go into executive session at 1:18 p.m. to discuss matters leading to the employment, promotion, demotion, discipline, suspension, dismissal or removal of a particular person, which was seconded by Stephanie. All in favor.

Kristen left the meeting at 1:27 p.m.

Stephanie motioned to leave executive session at 1:28 p.m., which was seconded by John H. All in favor.

Respondent for Case No. 2023-09 entered the meeting at 1:28 p.m.

Stephanie motioned to go into executive session at 1:29 p.m. to discuss matters leading to the employment, promotion, demotion, discipline, suspension, dismissal or removal of a particular person, which was seconded by John H. All in favor.

Respondent for Case No. 2023-09 left the meeting at 1:46 p.m.

Darlene motioned to leave executive session at 1:48 p.m., which was seconded by John H. All in favor.

John H. motioned that no issues were found with the Statement of Financial Disclosure for Case No. 2023-09, which was seconded by Stephanie. All in favor.

Case No. 2023-09 was closed.

NEXT MEETING:

The next meeting of the Ethics Board is scheduled for April 10, 2024 at 1 p.m. in Room TBD of the Gerace Office Building, 3 N. Erie St. in Mayville, N.Y.

MOTION TO ADJOURN:

John H. motioned to adjourn the meeting at 1:50 p.m., which was seconded by Stephanie. All in favor.

Minutes prepared by Amanda Gallagher and respectfully submitted to John Hamels.

CHAUTAUQUA COUNTY ETHICS BOARD

2023 ANNUAL REPORT

Ethics Board Activities and Supporting Documents for the period from 1/1/23 to 12/31/23

DRAFT

Submitted: xx/xx/2024

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CHAUTAUQUA COUNTY ETHICS BOARD

2023 ANNUAL REPORT

Executive Summary

The 2023 Annual Report of the Chautauqua County Ethics Board (CCEB) is submitted as required by the Chautauqua County Code of Ethics to record the activities undertaken by the Board during the 2023 calendar year, and to recommend changes or improvements to the Code of Ethics. The report also covers board membership and terms of service, the 2024 meeting schedule, training recommendations, and relevant supporting attachments.

During 2023 the CCEB met a total of five times and completed all required tasks. The approved agendas and minutes from each of these meetings are included in this report as well as a summary of all of the actions taken by the CCEB during 2023.

Please submit all questions regarding this report to the CCEB Chairman John Marengo in care of the County Executive's Office at 716-753-4211.

Section 1. Introduction

The Chautauqua County Code of Ethics (the Code) requires the formation of the Chautauqua County Ethics Board (CCEB) in order to maintain minimum standards of ethical conduct for County officers and employees, and to ensure that County government is free from improper influence as outlined in the Code. Section 13.4.g. requires that the Ethics Board prepare an Annual Report and make recommendations regarding changes or improvements to the Code. This document fulfills these requirements.

Section 2. 2023 Ethics Board Members and Terms of Service

<u>Member</u>	<u>Date Current Term Began</u>	<u>Date Term Complete</u>
Stephanie Stevens	3/23/2022	1/31/2025
John Hamels	1/31/2024	1/31/2027
Diane Hannum	1/31/2024	1/31/2027
John Marengo	1/31/2023	1/31/2026
Darlene Nygren	4/26/2023	1/31/2026

Section 13, Paragraph 3 of the Code requires that members of the CCEB serve three-year staggered terms: during 2023, Darlene Nygren was appointed on 4/26/23. **(See Attachment A: Resolutions Confirming Appointments).**

Section 3. 2022 Activities

a. Meetings (Agendas and Minutes). Board meetings are held in the Gerace Office Building, Mayville, NY.

-Meeting #1, Wednesday, May 10, 2023

Agenda and minutes **Attachment B**

-Meeting #2, Wednesday, July 12, 2023

Agenda and minutes **Attachment C**

-Meeting #3, Wednesday, August 16, 2023

Agenda and minutes **Attachment D**

-Meeting #4, Wednesday, September 13, 2022

Agenda and minutes **Attachment E**

-Meeting #5, Wednesday, October 25, 2023

Agenda and minutes **Attachment F**

b. Summary of Actions Taken During 2023

- During the May 10, 2023 meeting the CCEB reviewed and approved changes to the Ethics Board Procedure EB 2021-01 – Financial Disclosure Statements and Ethics Board Training.

- The CCEB welcomed the addition of new member Darlene Nygren who was appointed on April 27, 2023 (**Attachment A**).

- During the September 13, 2023 meeting the CCEB reviewed and approved changes to the Code of Ethics and the Statement of Financial Disclosure Form. The CCEB also discussed and approved moving the board's P.O. Box from the Jamestown to Mayville Post Office.

- The CCEB reviewed and approved a total of 384 Financial Disclosure Statements for 2023.

- There were a total of 16 case numbers for 2023.

o Of the 16 case numbers, 13 were reports of potential ethics violations, 2 were related to the late filing of Statements of Financial Disclosure, and 1 was related to the late completion of ethics trainings.

▪ Of the 13 potential ethics violations, 10 cases were investigated with no current violations found, 2 cases were investigated and the Board issued warnings as violations were found, and 1 case was handled by a Department Head with no further action required by the Ethics Board.

▪ Of the 2 disclosure form filing-related cases, both cases were granted a filing extension.

▪ For the 1 training-related case, it was ultimately determined that the training was timely received.

- There were a total of 15 Extension Request forms reviewed by the Ethics Board.
 - o Of the 15 extension request forms, 13 forms were for the training requirement (12 were approved/granted and 1 was sent back for correction but ultimately was never completed as individual left county employment), and 2 forms were for the disclosure requirement (both requests were approved/granted).

- The Board also issued one advisory opinion.

Section 4. 2024 Meeting Schedule

The Chautauqua County Code of Ethics requires that the Ethics Board meet four times per year. The CCEB has scheduled the following meeting dates to be held in the Gerace County Office Building, Mayville for calendar year 2024:

April 10th at 1 p.m.

May 15th at 1 p.m.

September 18th at 1 p.m.

October 16th at 1 p.m.

Section 5. Conclusion

2023 was another successful year for the Chautauqua County Ethics Board. As in previous years the board would like to acknowledge Resource Assistant Amanda Gallagher and all of her hard work and dedication to this board. Ms. Gallagher is an integral part of the CCEB and the board would not function as efficiently without her efforts. The board would also like to recognize all of the hard work, valuable guidance and insight provided by First Assistant County Attorney Kristen Wright. Finally, I would like to thank all of the volunteer board members for their time and dedication throughout the year.

Appendix A: Resolutions Confirming Appointments

RES. NO. 118-23

Confirm Appointment- Chautauqua County Ethics Board

By Administrative Services Committee:

At the Request of County Executive Paul M. Wendel, Jr.:

WHEREAS, County Executive Paul M. Wendel, Jr. has submitted the following appointment for action by the Chautauqua County Legislature; therefore be it

RESOLVED, That the Chautauqua County Legislature does hereby confirm the following appointment to the Chautauqua County Ethics Board.

Darlene Nygren
1205 Shadyside Rd.
Jamestown, NY 14701
Term Expires: 1/31/26
(New-Appointment)

Signed: Scudder, Davis, Muldowney, Vanstrom, Parker

Unanimously Adopted – April 26, 2023

Appendix B: May 10, 2023 Agenda and Minutes

CHAUTAUQUA COUNTY ETHICS BOARD (CCEB)

MEETING AGENDA

First Meeting of CY2023

Wednesday, May 10, 2023

2 p.m.

Room 331

Gerace Office Building

3 North Erie St.

Mayville, NY 14757

- I. Call to order: confirm proper public notification was completed.
- II. Review and approve November 16, 2022 minutes.
- III. Review correspondence.
- IV. Review and approve Ethics Board Procedure.
- V. Review and approve 2022 Annual Report.
- VI. Status of Annual Code of Ethics Training for County Employees and Board Members.
- VII. Status of Financial Disclosure forms.
- VIII. Next meeting: September 13, 2023 at 2 p.m. in Room 331 of the GOB in Mayville.
- IX. Meeting adjourned.

CHAUTAUQUA COUNTY ETHICS BOARD MEETING MINUTES

DATE: May 10, 2023

LOCATION: Room 331, Gerace Office Building, 3 North Erie Street,
Mayville, New York 14757

TIME: 2:03 – 2:48 p.m.

MEMBERS PRESENT: John Hamels
Diane Hannum
John Marengo
Darlene Nygren
Stephanie Stevens

OTHERS PRESENT: Amanda Gallagher from the County Executive's Office
Kristen Wright from the County Law Department (via phone)

CALL TO ORDER & PUBLIC NOTIFICATION:

John called the meeting to order at 2:03 p.m.

Amanda confirmed proper public notification was completed as the notice of today's meeting was sent out to the local media and posted on the county website on April 25, 2023. It also appeared in the Post-Journal's "Briefly" section on April 26, 2023.

APPROVAL OF MINUTES:

Diane motioned to approve the minutes from the November 16, 2022 meeting, which was seconded by John H. All in favor with Darlene abstaining as she was not a board member at the November meeting.

MEMBERSHIP:

The Board welcomed Darlene Nygren as a new member of the Board. She was appointed on April 27, 2023.

REVIEW CORRESPONDENCE:

John M. reported that no mail was received at the Board's P.O. Box.

Amanda reported that aside from the statements of financial disclosure, training confirmations, and extension request forms, no other correspondence was received for the Board through the County Executive's Office. In addition, she noted that the Ethics Board's email address was discontinued on November 28, 2022.

REVIEW AND APPROVE ETHICS BOARD PROCEDURE:

The Board reviewed the changes to “Ethics Board Procedure EB 2021-01 – Financial Disclosure Statements and Ethics Board Training.” Changes included:

- Amending language to reflect that “County Executive staff *or the designated Ethics Board liaison*” will be performing certain actions as outlined in the procedure.
- Adding a paragraph to the Employee Training Reminder email template to let Department Heads know that if their employees do not complete the training by the deadline then the Department Head must remit documentation about their efforts to secure timely training confirmation from their employee.
- Deleting the reference to the Ethics Board’s email address, which has been deactivated.
- Adding a paragraph to the Board Member Training Reminder email template to let Department Heads know they need to remit documentation about their efforts to secure timely training confirmation from their board members who do not complete the training by the deadline.
- Updating the Extension Request Form to reflect the amended local law number, to include invoices as an authorization that will be suspended, and remove the reference to payroll, which is no longer an authorization required to file a disclosure form.
- Updating the “Chautauqua County Code of Ethics Requirements” paragraph as follows: “. . . and to timely confirm *in writing* completion of such training requirements *in a manner prescribed by the County Executive’s Office or Human Resources Department.*”

John M. motioned to approve the changes to the Procedure, which was seconded by Stephanie. All in favor.

REVIEW OF 2022 ANNUAL REPORT:

The Board reviewed the draft 2022 Annual Report.

John H. motioned to approve the report, which was seconded by Diane. All in favor with Darlene abstaining as she was not a board member in 2022.

STATUS OF ANNUAL CODE OF ETHICS TRAINING FOR COUNTY EMPLOYEES AND BOARD MEMBERS:

Amanda provided an update on the 2022 Code of Ethics Training. The last employee who was out on leave did not return to work at all in 2022 and no longer needs to complete that training. If the employee returns in 2023, the employee will be required to complete the 2023 training.

For the 2023 training, Amanda reported that the annual training for board members was issued on January 10, 2023 and the Human Resources Department issued the training to county employees on February 2, 2023. The annual training was due by March 31, 2023 and was timely completed by all county board members and county employees, with the exception of 18 employees who are out on medical leave or had other exceptions. Of the 18 exceptions, 6 employees have returned and completed the training and extension request forms.

The Board was happy to see 100% compliance this year and asked that a thank you be sent to the employees. Correspondence will be sent from the Board to the County Executive and Clerk of the Legislature to share with their employees.

The Board also reviewed Extension Request Forms.

John H. motioned to approve ERF # T-23-01, T-23-02, T-23-03, T-23-04, T-23-05 and T-23-06, which was seconded by Diane. All in favor.

STATUS OF FINANCIAL DISCLOSURE FORMS:

Amanda reported that for filing year 2022, there were 394 forms that were reviewed and approved by the Board.

For filing year 2023, Amanda noted that all of the annual disclosure forms that were due by 4/30/2023, were timely received. As of May 8, 2023, there are 261 forms that were reviewed and approved by the Board, 60 forms are still pending the Board's review, 5 forms are incomplete and letters will be going out soon to request corrections, and 3 forms have an upcoming due date.

Amanda also reminded the Board about the procedure for checking the vendor lists when they review disclosure forms.

Amanda also noted that ERF-D-06 was received and was approved on 11/30/2022. As a result, Case No. 2022-79 was closed.

NEXT MEETING:

The next meeting of the Ethics Board is scheduled for August 16, 2023 at 2 p.m. in the Gerace Office Building, 3 N. Erie St. in Mayville, N.Y. Room TBD.

MOTION TO ADJOURN:

John H. motioned to adjourn the meeting at 2:48 p.m., which was seconded by Diane. All in favor.

Minutes prepared by Amanda Gallagher and respectfully submitted to John Hamels.

Appendix C: July 12, 2023 Agenda and Minutes

CHAUTAUQUA COUNTY ETHICS BOARD (CCEB)

MEETING AGENDA

Second Meeting of CY2023

Wednesday, July 12, 2023

2 p.m.

Room 331

Gerace Office Building

3 North Erie St.

Mayville, NY 14757

- I. Call to order: confirm proper public notification was completed.
- II. Review and approve May 10, 2023 minutes.
- III. Review correspondence.
- IV. Status of Annual Code of Ethics Training for County Employees and Board Members.
- V. Status of Financial Disclosure forms.
- VI. Next meeting: August 16, 2023 at 2 p.m. in Room 331 of the GOB in Mayville.
- VII. Meeting adjourned.

CHAUTAUQUA COUNTY ETHICS BOARD

MEETING MINUTES

DATE: July 12, 2023
LOCATION: Room 331, Gerace Office Building, 3 North Erie Street,
Mayville, New York 14757

TIME: 2:01 – 4:08 p.m.

MEMBERS PRESENT: John Hamels
Diane Hannum
John Marengo
Stephanie Stevens

MEMBER ABSENT: Darlene Nygren

OTHERS PRESENT: Amanda Gallagher from the County Executive's Office
Kristen Wright from the County Law Department
Jason Schmidt, District Attorney
Respondent for Case No. 2023-02.

CALL TO ORDER & PUBLIC NOTIFICATION:

John M. called the meeting to order at 2:01 p.m.

John M. confirmed proper public notification was completed as the notice of today's meeting was sent out to the local media and posted on the county website on June 28, 2023. It also appeared in the Post-Journal's "Briefly" section on June 30 2023.

APPROVAL OF MINUTES:

Stephanie motioned to approve the minutes from the May 10, 2023 meeting, which was seconded by John H. All in favor.

REVIEW CORRESPONDENCE:

John M. reported that no mail was received at the Board's P.O. Box.

The Board had received Case No. 2023-01, 2023-02, and 2023-03.

John M. motioned to enter into executive session to discuss matters leading to the discipline, suspension, dismissal or removal of a particular person, which was seconded by John H. All in favor.

Diane arrived at the meeting at 2:09 p.m.

Amanda arrived at the meeting at 2:10 p.m.

John M. motioned to leave executive session at 2:21 p.m., which was seconded by Diane. All in favor.

Respondent for Case No. 2023-02 arrived at the meeting at 2:22 p.m.

The Board discussed Case No. 2023-02.

John H. motioned to approve the extension request form for this Case once the director's sign off was received, which was seconded by John M. All in favor.

Respondent for Case No. 2023-02 left the meeting.

John M. motioned to enter into executive session to discuss matters leading to the discipline, suspension, dismissal or removal of a particular person, which was seconded by Stephanie. All in favor.

John M. motioned to leave executive session at 2:59 p.m., which was seconded by John H. All in favor.

Jason Schmidt arrived at the meeting at 3 p.m. to seek an opinion from the Board.

Jason left the meeting at 3:37 p.m.

John M. motioned to go into executive session at 3:38 p.m. to receive the advice of the Office of the County Attorney, which was seconded by Stephanie. All in favor.

John M. motioned to leave executive session at 3:50 p.m., which was seconded by John H. All in favor.

Stephanie left the meeting at 3:54 p.m.

STATUS OF ANNUAL CODE OF ETHICS TRAINING FOR COUNTY EMPLOYEES:

Amanda provided an update on the 2023 Code of Ethics Training. Previously, there were 12 county employees who were out on medical leave or had other exceptions, which still needed to complete the ethics training. As of July 10, 2023, five employees have come back, completed their training and submitted extension request forms for the Board's review; four employees have still not returned to work; and three employees who were out on medical leave are no longer county employees and are no longer required to complete the training.

The Board also reviewed Extension Request Forms. ERF # T-23-08, T-23-09, and T-23-10 were approved. ERF # T-23-07 and T-23-11 required corrections and will be sent back to the requestors.

STATUS OF FINANCIAL DISCLOSURE FORMS:

Amanda reported that so far for 2023, a total of 344 forms have been reviewed and approved by the Board. There are no forms pending review, one incomplete form where the filer will be notified soon, and six forms with upcoming due dates.

Amanda also reminded the board members to send her their business lists that they created when reviewing the disclosure forms so she can combine them and send the master list to the Purchasing Department.

The Ethics Board also discussed the County of Chautauqua Industrial Development Agency (CCIDA) using the Ethics Board as a repository to file disclosure statements for CCIDA officers, employees and/or board members. The Ethics Board will acknowledge receipt of the forms received by the CCIDA and send them to the County Clerk's Office, for filing, but the Ethics Board has no further responsibilities for the CCIDA's ethics program. The CCIDA will also be required to use its own disclosure statement to easily differentiate it from the form the County Ethics Board currently uses.

NEXT MEETING:

The next meeting of the Ethics Board is scheduled for August 16, 2023 at 2 p.m. in Room 331 of the Gerace Office Building, 3 N. Erie St. in Mayville, N.Y.

MOTION TO ADJOURN:

John H. motioned to adjourn the meeting at 4:08 p.m., which was seconded by John M. All in favor.

Minutes prepared by Amanda Gallagher and respectfully submitted to John Hamels.

Appendix D: August 16, 2023 Agenda and Minutes

CHAUTAUQUA COUNTY ETHICS BOARD (CCEB)

MEETING AGENDA

Third Meeting of CY2023

Wednesday, August 16, 2023

2 p.m.

Room 331

Gerace Office Building

3 North Erie St.

Mayville, NY 14757

- I. Call to order: confirm proper public notification was completed.
- II. Review and approve July 12, 2023 minutes.
- III. Review correspondence.
- IV. Status of Annual Code of Ethics Training for County Employees and Board Members.
- V. Status of Financial Disclosure forms.
- VI. Next meeting: September 13, 2023 at 2 p.m. in Room 331 of the GOB in Mayville.
- VII. Meeting adjourned.

CHAUTAUQUA COUNTY ETHICS BOARD MEETING MINUTES

DATE: August 16, 2023
LOCATION: Room 331, Gerace Office Building, 3 North Erie Street,
Mayville, New York 14757

TIME: 2:05 – 3:19 p.m.

MEMBERS PRESENT: John Hamels
Diane Hannum
Darlene Nygren
Stephanie Stevens

MEMBER ABSENT: John Marengo

OTHERS PRESENT: Amanda Gallagher from the County Executive's Office
Kristen Wright from the County Law Department
Respondent for Case No. 2023-03

CALL TO ORDER & PUBLIC NOTIFICATION:

John H. called the meeting to order at 2:05 p.m.

Amanda confirmed proper public notification was completed as the notice of today's meeting was sent out to the local media and posted on the county website on August 7, 2023. It also appeared in the Post-Journal's "Briefly" section on August 8, 2023.

Stephanie motioned to go into executive session to discuss matters leading to the discipline, suspension, dismissal or removal of a particular person, which was seconded by Darlene. All in favor. Executive session entered at 2:06 p.m. with Diane entering the meeting and Respondent for Case No. 2023-03 leaving the meeting.

John H. motioned to leave executive session at 2:09 p.m., which was seconded by Diane. All in favor.

Respondent for Case No. 2023-03 re-entered the meeting at 2:09 p.m.

The Board discussed Case No. 2023-03 with Respondent.

Respondent left meeting.

APPROVAL OF MINUTES:

Stephanie motioned to approve the minutes from the July 12, 2023 meeting, which was seconded by Diane. All in favor.

REVIEW CORRESPONDENCE:

John M. was not present to report if any mail was received at the Board's P.O. Box.

Amanda reported that Case No. 2023-02 has been closed as the Extension Request Form was received and signed on July 16, 2023. She also reported that the determination on Opinion No. O-23-01 was mailed to the requestor on July 20, 2023.

The Board reviewed Case No. 2023-01. It was determined that the Case has already been handled by the Supervisor. John H. motioned that the memo of the conversation with the Supervisor be attached to Case No. 2023-01, which was seconded by Stephanie. All in favor. Case No. 2023-01 was closed.

Kristen entered the room at 2:26 p.m.

Case No. 2023-04A, 2023-04B, 2023-04D, 2023-04F, 2023-05A, 2023-05B, and 2023-06 were reviewed by the Board and no violations of the Code of Ethics were found and all of these cases were closed.

Case No. 2023-04E was reviewed by the Board. This matter was already brought to the Board's attention through Case No. 2023-03 and no further action is needed. Case No. 2023-04E was closed.

Case No. 2023-04C and Case No. 2023-04G were reviewed by the Board. It was determined that these cases pertaining to former County employees will not be pursued and these cases were closed.

Kristen also reminded Board members to complete and turn in their lists of businesses culled from employee disclosure statements so the Finance Department can reference it when reviewing and processing contracts.

The Board reviewed Case No. 2023-07. Correspondence will be sent to the Respondent.

The Board reviewed Case No. 2023-08.

STATUS OF ANNUAL CODE OF ETHICS TRAINING FOR COUNTY EMPLOYEES:

Amanda provided an update on the 2023 Code of Ethics Training. There are 4 county employees who still need to complete the ethics training. All of these employees are still out on medical leave and will be required to complete the training upon their return to work. She also reported that for Extension Request Form #T-23-11 the individual is no longer an employee and no longer needs to submit a corrected Extension Request Form.

The Board reviewed and approved corrected Extension Request Form #T-23-07.

STATUS OF FINANCIAL DISCLOSURE FORMS:

Amanda reported that so far for 2023, a total of 345 forms have been reviewed and approved by the Board as of August 15, 2023. There are 17 forms pending review and 3 forms with upcoming due dates.

NEXT MEETING:

The next meeting of the Ethics Board is scheduled for September 13, 2023 at 2 p.m. in Room 331 of the Gerace Office Building, 3 N. Erie St. in Mayville, N.Y.

MOTION TO ADJOURN:

Stephanie motioned to adjourn the meeting at 3:19 p.m., which was seconded by Diane. All in favor.

Minutes prepared by Amanda Gallagher and respectfully submitted to John Hamels.

Appendix E: September 13, 2023 Agenda and Minutes

CHAUTAUQUA COUNTY ETHICS BOARD (CCEB)

MEETING AGENDA

Fourth Meeting of CY2023

Wednesday, September 13, 2023

2 p.m.

Room 331

Gerace Office Building

3 North Erie St.

Mayville, NY 14757

- I. Call to order: confirm proper public notification was completed.
- II. Review and approve August 16, 2023 minutes.
- III. Review correspondence.
- IV. Review Changes to Code of Ethics, Statement of Financial Disclosure Form, Titles of Required Filers, and discuss Interest in Contracts Disclosure.
- V. Status of Annual Code of Ethics Training for County Employees and Board Members.
- VI. Status of Financial Disclosure forms.
- VII. Review Questions and Answers concerning Code of Ethics and Disclosure Statement.
- VIII. Discuss 2023 Annual Report.
 - a. Membership- Doc and Diane's terms expire 1/31/24.
 - b. Set 2024 Meeting Dates.
- IX. Next meeting: TBD.
- X. Meeting adjourned.

CHAUTAUQUA COUNTY ETHICS BOARD MEETING MINUTES

DATE: September 13, 2023
LOCATION: Room 331, Gerace Office Building, 3 North Erie Street,
Mayville, New York 14757

TIME: 2:01 – 4:02 p.m.

MEMBERS PRESENT: Diane Hannum
John Marengo
Darlene Nygren
Stephanie Stevens

MEMBER ABSENT: John Hamels

OTHERS PRESENT: Amanda Gallagher from the County Executive's Office
Kristen Wright from the County Law Department
Respondent for Case No. 2023-03

CALL TO ORDER & PUBLIC NOTIFICATION:

John M. called the meeting to order at 2:01 p.m.

Amanda confirmed proper public notification was completed as the notice of today's meeting was sent out to the local media and posted on the county website on September 6, 2023. It also appeared in the Post-Journal's "Briefly" section on September 9, 2023.

APPROVAL OF MINUTES:

Diane motioned to approve the minutes from the August 16, 2023 meeting, which was seconded by Darlene. All in favor with John M. abstaining from voting as he was not present at the last meeting.

REVIEW CORRESPONDENCE:

John M. reported that there was no mail in the Board's P.O. Box.

Amanda provided an update on the Board's case files. The follow-up letter concerning Case No. 2023-03 was sent and the Board was still awaiting acknowledgement from the Respondent.

Kristen left the meeting at 2:06 p.m.

Amanda reported that for Case No. 2023-07 the follow-up letter was sent and we are still awaiting the Extension Request Form for the Board's review. Amanda to follow-up with the Respondent's Department Head.

Amanda also reported that Case No. 2023-08 was closed as it was determined that training confirmation was timely received.

Kristen returned to the meeting at 2:09 p.m.

REVIEW OF CHANGES TO CODE OF ETHICS, STATEMENT OF FINANCIAL DISCLOSURE FORM, AND QUESTIONS:

The Board reviewed changes to the Code of Ethics, which included changes to the definitions of Family Member and Related Person, adding definitions for Nepotism and Supervising Authority, adding a new section on Nepotism, and adding two new paragraphs to the section on the Use of County Resources.

The Board also discussed moving its P.O. Box from Jamestown to Mayville as the Board's P.O. Box is mentioned in the Reporting Violations section of the Code.

Stephanie motioned to approve the P.O. Box change, which was seconded by Darlene. All in favor.

Diane motioned to accept the amendments to the Code of Ethics as presented, which was seconded by Stephanie. All in favor.

The Board reviewed changes to the Statement of Financial Disclosure Form, which included clarification to include the first name, middle initial, and last name of a Spouse and any dependent children in Questions 2 and 3; providing the definition of Related Person in Questions 6c, 8, and 10; changes to the answer columns for Question 12; and adding an additional acknowledgment paragraph to the Certification part of the form.

Stephanie motioned to approve the changes to the Statement of Financial Disclosure, which was seconded by Diane. All in favor.

The Board discussed questions about interests and real estate and requested that the questions and answers be added to the Statement of Financial Disclosure training.

RETURN TO REVIEW OF CORRESPONDENCE:

Stephanie motioned to go into executive session at 3:06 p.m. to receive the advice of the Office of the County Attorney, which was seconded by Darlene. All in favor.

Stephanie motioned to leave executive session at 3:38 p.m., which was seconded by Darlene. All in favor.

REVIEW OF TITLES OF REQUIRED FILERS AND INTEREST IN CONTRACTS

DISCLOSURE:

The Board reviewed proposed changes to the List of Titles Required to File a Statement of Financial Disclosure, which included removing 26 titles that are no longer in the County's classification plan and adding 6 new titles.

Darlene motioned to update the list as presented, which was seconded by Diane. All in favor.

The Board reviewed a draft Interest in Contracts Disclosure form that could be utilized instead of the Statement of Financial Disclosure for individuals who only need to disclose interests in contracts per Article 18 of New York State General Municipal Law.

Stephanie motioned to adopt the Interest in Contracts Disclosure, which was seconded by Diane. All in favor.

STATUS OF ANNUAL CODE OF ETHICS TRAINING FOR COUNTY EMPLOYEES:

Amanda provided an update on the 2023 Code of Ethics Training. There were four county employees who still needed to complete the ethics training. Of them, two of the employees are still out on medical leave and will be required to complete the training upon their return to work, one is no longer a county employee, and one has returned to work and submitted an extension request form for the Board's review.

The Board reviewed Extension Request Form #T-23-12.

Stephanie motioned to approve Extension Request Form T-23-12, which was seconded by Diane. All in favor.

STATUS OF FINANCIAL DISCLOSURE FORMS:

Amanda reported that so far for 2023, a total of 360 forms have been reviewed and approved by the Board as of September 11, 2023. There are 7 forms pending review and 3 forms with upcoming due dates.

DISCUSS 2023 ANNUAL REPORT:

The Board held off on discussing the Annual Report and will review membership and 2024 meeting dates at its next meeting.

NEXT MEETING:

The next meeting of the Ethics Board is scheduled for October 25, 2023 at 1 p.m. in Room TBD of the Gerace Office Building, 3 N. Erie St. in Mayville, N.Y.

MOTION TO ADJOURN:

Stephanie motioned to adjourn the meeting at 4:02 p.m., which was seconded by Darlene. All in favor.

Minutes prepared by Amanda Gallagher and respectfully submitted to John Marengo.

DRAFT

Appendix F: October 25, 2023 Agenda and Minutes

CHAUTAUQUA COUNTY ETHICS BOARD (CCEB)

MEETING AGENDA

Fifth Meeting of CY2023

Wednesday, October 25, 2023

1 p.m.

Room 149

Gerace Office Building

3 North Erie St.

Mayville, NY 14757

- I. Call to order: confirm proper public notification was completed.
- II. Review and approve September 13, 2023 minutes.
- III. Review correspondence.
- IV. Status of Annual Code of Ethics Training for County Employees and Board Members.
- V. Status of Financial Disclosure forms.
- VI. Discuss 2023 Annual Report.
 - a. Membership- Doc and Diane's terms expire 1/31/24.
 - b. Set 2024 Meeting Dates.
- VII. Next meeting: TBD.
- VIII. Meeting adjourned.

CHAUTAUQUA COUNTY ETHICS BOARD MEETING MINUTES

DATE: October 25, 2023
LOCATION: Room 149, Gerace Office Building, 3 North Erie Street,
Mayville, New York 14757

TIME: 1:03 – 1:50 p.m.

MEMBERS PRESENT: John Hamels
John Marengo
Darlene Nygren
Stephanie Stevens

MEMBER ABSENT: Diane Hannum

OTHERS PRESENT: Amanda Gallagher from the County Executive's Office
Kristen Wright from the County Law Department
Respondent for Case No. 2023-09

CALL TO ORDER & PUBLIC NOTIFICATION:

John M. called the meeting to order at 1:03 p.m.

Amanda confirmed proper public notification was completed as the notice of today's meeting was posted on the county website on October 6, 2023 and was sent out to the local media on October 11, 2023. It also appeared in the Post-Journal's "Briefly" section on October 17, 2023.

REVIEW CORRESPONDENCE:

John M. reported that there was no mail in the Board's P.O. Box, with the exception of a notice about the Board's P.O. Box change of address form not being processed. John M. and Amanda will get this sorted out with the post office.

Amanda reported that ERF D-23-02 for Case No. 2023-07 was received and will be reviewed later in the meeting.

Darlene entered the meeting at 1:06 p.m.

APPROVAL OF MINUTES:

Darlene motioned to approve the minutes from the September 13, 2023 meeting, which was seconded by Stephanie. All in favor with John H. abstaining from voting as he was not present at the last meeting.

STATUS OF ANNUAL CODE OF ETHICS TRAINING FOR COUNTY EMPLOYEES:

Amanda provided an update on the 2023 Code of Ethics Training. There were 2 county employees who still needed to complete the ethics training. Of them, one employees is still out on medical leave and will be required to complete the training upon their return to work, and one employee has returned to work and submitted an extension request form for the Board's review.

The Board reviewed and approved Extension Request Form #T-23-13.

STATUS OF FINANCIAL DISCLOSURE FORMS:

Amanda reported that so far for 2023, a total of 374 forms have been reviewed and approved by the Board as of October 24, 2023. In addition, there is 1 form still pending review, 2 forms that were sent back for correction, and 3 forms with an upcoming due date.

The Board reviewed and approved Extension Request Form #D-23-02 for Case No. 2023-07. Case No. 2023-07 is now closed.

DISCUSS 2023 ANNUAL REPORT:

John H. and Diane's terms on the Board expire on 1/31/2024. John H. seeks re-appointment. Diane was not present at today's meeting so Amanda will follow-up with her to see if she wishes to be re-appointed.

John M. and Amanda will work on drafting the 2023 Annual Report, which will be reviewed by the Board at its first meeting in 2024.

The Board also set its tentative meeting dates for 2024. This includes: April 10, May 15, September 18, and October 16. All meetings would be held at 1 p.m. at the Gerace Office Building in Mayville, N.Y.

RETURN TO REVIEW OF CORRESPONDENCE:

John H. motioned to go into executive session at 1:18 p.m. to discuss matters leading to the employment, promotion, demotion, discipline, suspension, dismissal or removal of a particular person, which was seconded by Stephanie. All in favor.

Kristen left the meeting at 1:27 p.m.

Stephanie motioned to leave executive session at 1:28 p.m., which was seconded by John H. All in favor.

Respondent for Case No. 2023-09 entered the meeting at 1:28 p.m.

Stephanie motioned to go into executive session at 1:29 p.m. to discuss matters leading to the employment, promotion, demotion, discipline, suspension, dismissal or removal of a particular person, which was seconded by John H. All in favor.

Respondent for Case No. 2023-09 left the meeting at 1:46 p.m.

Darlene motioned to leave executive session at 1:48 p.m., which was seconded by John H. All in favor.

John H. motioned that no issues were found with the Statement of Financial Disclosure for Case No. 2023-09, which was seconded by Stephanie. All in favor.

Case No. 2023-09 was closed.

NEXT MEETING:

The next meeting of the Ethics Board is scheduled for April 10, 2024 at 1 p.m. in Room TBD of the Gerace Office Building, 3 N. Erie St. in Mayville, N.Y.

MOTION TO ADJOURN:

John H. motioned to adjourn the meeting at 1:50 p.m., which was seconded by Stephanie. All in favor.

Minutes prepared by Amanda Gallagher and respectfully submitted to John Hamels.

Appendix G: Ethics Board Procedures EB 2021-01 Financial Disclosure Statements and Ethics Code Training.

Ethics Board Procedure

EB 2021-01

**FINANCIAL DISCLOSURE STATEMENTS
and
ETHICS BOARD TRAINING**

This document outlines general procedures to be followed in connection with Code of Ethics financial disclosure statement and Code of Ethics training requirements. The Board may deviate from these procedures, as deemed appropriate by the Board.

Chautauqua County Code of Ethics Requirements

All County Officers and Employees subject to the requirements of the Chautauqua County Code of Ethics are required to undergo annual Ethics Board training to inform and educate them as to the requirements of the Code, and to timely confirm completion of such training requirements in a manner prescribed by the County Executive’s Office or Human Resources Department. New officers and employees receive the training materials upon hiring/appointment. Annual training must be completed by March 31st or within thirty (30) days of return from an authorized leave (excluding vacation time).

Annual filings of the Statement of Financial Disclosure are due by April 30th of each year, or within thirty (30) days of return from an authorized leave (excluding vacation time). New employees must file within thirty (30) days of taking office, and new board members must file within thirty (30) days of appointment. Amended statements are due within thirty (30) days of any material change in information.

Initial Notification of Disclosure Statement and Training Requirements.

County Department of Human Resources staff issue training materials to County Officers and Employees, either directly to such individuals or via issuance to Department Heads for distribution to those under their purview. County Executive Staff or the designated Ethics Board liaison issues training materials to County board members, either directly to such individuals or via issuance to board liaisons for distribution to those under their purview.

County Executive staff or the designated Ethics Board liaison sends a notification to all County officers and employees, including board members, subject to the disclosure requirement, attaching the Statement form and including the Statement due date. This notification may be issued by mail and/or e-mail. E-mails may be sent using the electronic confirmation of receipt feature and/or with a “read receipt” request.

These initial communications will include notification that penalties should be expected upon failure to timely comply. The Statement communications will also include tips for proper completion of the form (Attachments 1A,1B).

Reminder E-mail.

Approximately five (5) to ten (10) calendar days before annual training confirmation is due, County Executive Staff or the designated Ethics Board liaison will issue a reminder e-mail (Attachment 2A or 2B) to those who supervise or oversee employees or board members whose training confirmation has not been received. For employees, this reminder e-mail will also include a “Reminder to Timely Complete Code of Ethics Training” letter for Department Heads to provide to their employees who still need to complete the training.

Approximately five (5) to ten (10) calendar days before annual statements are due, County Executive Staff or the designated Ethics Board liaison will issue a reminder e-mail (Attachment 2C or 2D) to those who supervise or oversee employees or board members whose Statements have not been received. For employees, this reminder e-mail will also include a “Reminder to Timely File Statement of Financial Disclosure” letter for Department Heads to provide to their employees who still need to complete the disclosure form.

Request for an Extension of Time.

When an individual requests an extension of time, the individual will be provided a form for that purpose (Attachment 3). The Ethics Board may grant the request, deny the request, or seek additional information prior to granting or denying a request.

Training Confirmation or Statement Not Received or Postmarked by the Due Date.

Incorrect or incomplete Statements will be rejected, and returned to the filer (Attachment 4). When County Executive staff or the designated Ethics Board liaison notice an error on a Statement which has not yet been remitted to the Board for review, they may, prior to the Statement due date / extended due date, contact the filer and offer the filer the opportunity to submit a revised Statement (this will not be deemed to be an “amended” statement). In that event, the defective statement shall be retained by the County Executive’s office until a replacement statement is timely received, at which point it will be discarded or returned to the filer. If a replacement statement is untimely received, it should be marked as an amended statement and remitted to the Ethics Board for review along with the original statement.

If an employee’s training confirmation or Statement (or amended/corrected Statement) is untimely received, County Executive staff or the designated Ethics Board liaison will issue a Chautauqua County Ethics Board Notice (Attachments 5A, 5B, 5C or 5D).

If the Board does not receive a response to the Notice, or if the Ethics Board has not received confirmation of training / a Statement from a County employee, the Ethics Board will discuss next steps with the Department Head or the Department Head’s appointing authority, involving the County Law Department as needed.

If an employee or board member who is required to complete the training requirement or disclosure form has left county employment or the county board within 30 days of the training due date, the case will be closed with no further action. In addition, employees who are out on authorized leave (excluding vacation time) and then retire or resign without returning to work, will have their case closed with no further action.

Penalties for Untimely Compliance with Statement or Training Requirements.

Penalties imposed by the Ethics Board will be consistent with the Code of Ethics.

In general, minimum penalties will be \$100 per violation for the first year of non-compliance and \$300 per violation in the next year of non-compliance.

The amount of the penalty will correspond with the amount of delay in complying with the law. For every ten (10) full County business days that a violation continues, the penalty will increase by \$100.

Each violation of the law will be treated as a separate violation.

Volunteer Board Members.

Notwithstanding language in other sections of these Procedures, if the County Executive's office has not received a timely Statement, or has not timely received a corrected/completed Statement, from a volunteer County board member, or if a volunteer board member has not timely confirmed receipt of training material, the Ethics Board will contact the County Board liaison for input as to an appropriate means of proceeding.

When deciding how to proceed, the Ethics Board may take into consideration, among other factors:

- the Legislature Chairs' support for removal of board members, via legislative resolution, until such time as compliance has been attained;
- the date on which the training / statement documents were issued to the individual;
- efforts by the board liaison to secure compliance;
- the board liaison's recommendation;
- the individual's history of compliance, or lack thereof, with the Code of Ethics;
- the difficulty in securing and retaining volunteer board members; and
- whether the board has met since the statement was due.

When a board member complies in an untimely manner, the Ethics Board will issue communications to the board member and the board member liaison (Attachment 6).

Department Head Failure to Administer Code of Ethics Requirements.

Department heads set the tone for those under their purview. A Department Head's violation of the law is, therefore, of paramount concern. A Department Head's failure to comply with Code

of Ethics administrative requirements, as established in the law or as delegated by the County Executive, may be met with some or all of the following responses:

- Request a meeting with the Department Head;
- Recommend that the Appointing Authority take action;
- Schedule a Hearing;
- Send a warning Notice;
- Impose a sanction, penalty or fine consistent with the Code of Ethics.

<p>Ethics Board Procedure No. EB-2021-01</p> <p>Financial Disclosure Statements</p> <p>and</p> <p>Ethics Board Training</p>	<p>Attachments:</p> <ol style="list-style-type: none"> 1- A- Initial Notification – Employee Training Initial Notification – Board Member Training B- Initial Notification – Employee Disclosure Statement Initial Notification – Board Member Disclosure Statement 2- A- Department Head e-mail: Training Confirmation Outstanding for Employees B- Department Head e-mail: Training Confirmation Outstanding for Board Members C- Department Head e-mail: Disclosure Statements Outstanding for Employees D- Department Head e-mail: Disclosure Statements Outstanding for Board Members 3- Request for an Extension Form 4- Letter Template: Corrections/Completion Required 5- A- Notice to Employees who Failed to Timely File Statement B- Notice to Employees who Failed to Timely File Statement- Form Still Not Completed C- Notice to Employees who Failed to Timely Comply with Training D- Notice to Employees who Failed to Timely Comply with Training - Training Still Not Completed 6- Notice to Board Liaisons and Board Member upon Board Member Non-compliance
<p>Approval Date:</p>	<p>Effective Date: October 1, 2021 and Amended November 17, 2021, September 21, 2022, and May 10, 2023</p> <p>This Policy replaces any former policy(ies) on these subjects, as of the effective date.</p>

ATTACHMENT 1A TO ETHICS BOARD PROCEDURE EB-2021-01

This statement is to accompany County *employee* training materials only.

IMPORTANT NOTICE FROM THE COUNTY EXECUTIVE AND LEGISLATURE

County Officers and Employees are the public face of County government. To continue confidence and trust in our government, County activities must be performed in an ethical manner, consistent with State and County ethics laws. The enclosed training materials provide information about those laws.

Ethics laws, including the legal requirement that County officers and employees undergo annual ethics training, are important and must be respected. County employees should expect that if they do not timely comply with Chautauqua County Code of Ethics training requirements, the Ethics Board will impose a minimum penalty of \$100, with the fine increasing by \$100 for every ten (10) business days between the date training compliance was due and the date training compliance is received by the County Department of Human Resources.

Thank you for your timely cooperation.

This statement is to accompany County *board member* training materials only.

County board, commission and committee members play an important role in County government. To continue public confidence and trust in our government, all County activities, including board, commission and committee activities, must be performed in an ethical manner, consistent with State and County ethics laws. The enclosed training materials provide information about those laws.

Ethics laws, including the legal requirement that officers and employees undergo annual ethics training, are important. Your timely confirmation of receipt of Ethics Board training materials will relieve County staff and Ethics Board members from having to follow up with you and your board liaison, foster County compliance with the law, and further ethical County operations.

Thank you for your timely cooperation. We invite you to contact the Chautauqua County Ethics Board with questions, upon taking the training or at any time throughout the year.

ATTACHMENT 1B TO ETHICS BOARD PROCEDURE EB-2021-01

This statement is to be provided to *County Employees* subject to the *Statement of Financial Disclosure* filing requirement.

IMPORTANT NOTICE FROM THE COUNTY EXECUTIVE AND LEGISLATURE

County Officers and Employees serve as representatives of the County. To continue public confidence and trust in County government, County activities must be performed in an ethical manner, free from conflicts of interest. The enclosed Statement of Financial Disclosure form is designed to identify and disclose items and interests which could cause, or could be perceived to cause, a conflict of interest.

Ethics laws, including the legal requirement that certain individuals disclose financial interests, are important. County employees should expect that, if they do not timely file a properly completed Statement of Financial Disclosure, the Ethics Board will impose a minimum fine of \$100, with the fine increasing by \$100 for every ten (10) business days that expire between the filing deadline and the date the Statement is received by the County Executive's office.

Tips for Completion of the Form:

- ✓ Please be sure to include a mailing address in response to Question 1.
- ✓ Each question must be completed. If a question is not relevant, check "no" or "none."
- ✓ Your name must be at the top of each page.
- ✓ An original signature is required.

Thank you for your timely cooperation.

Name of County Executive
County Executive

Name of Legislature Chair
Chairman, Chautauqua County Legislature

This statement is to be provided to *Board Members* subject to the *Statement of Financial Disclosure* filing requirement.

County board, commission and committee members play an important role in County government. To continue public confidence and trust in County government, all County activities, including those of board, commission and committee members, must be performed in an ethical manner, free from conflicts of interest. The enclosed Statement of Financial

Disclosure form is designed to identify and disclose items and interests which could cause, or could be perceived to cause, a conflict of interest.

Ethics laws, including the legal requirement that certain individuals disclose financial interests, are important. Your timely submission of your statement will relieve County staff and Ethics Board members from having to follow up with you and your board liaison, foster County compliance with the law, and further ethical County operations.

Tips for Completion of the Form:

- ✓ Please be sure to include a mailing address in response to Question 1.
- ✓ Each question must be completed. If a question is not relevant, check “no” or “none.”
- ✓ Your name must be at the top of each page.
- ✓ An original signature is required.

Thank you for your timely cooperation.

Name of County Executive

County Executive

Name of Legislature Chair

Chairman, Chautauqua County Legislature

ATTACHMENT 2A TO ETHICS BOARD PROCEDURE EB-2020-01

This e-mail is sent, using “confirmation of delivery” and “read” options, 5-10 days prior to the Training confirmation due date. It is sent to Department Heads who have *employees* under their purview who have not completed the training yet.

Dear Department Head:

Chautauqua County Local Law _____<insert most recent Local Law number>, a Code of Ethics adopted in satisfaction of New York State General Municipal Law §806, requires County Officers and Employees to undergo annual Ethics Board training to inform and educate them as to the requirements of the Code. The law charges Department Heads with administering the training and ensuring each employee under their purview timely confirms completion of the training.

We have been advised that the County Department of Human Resources has not yet received training confirmation for the following employees under your purview:

- (#) employee(s) (please see attached list for employee names and ethics-related trainings awaiting their completion in the NEOGOV System).

Please be reminded that securing training confirmation is your responsibility, and that employees’ training confirmations are to be completed online in the NEOGOV LEARN Training System no later than **March 31, (YEAR)**.

Attached is/are letter(s) from the Ethics Board for you to deliver to (this/these) employee(s) to remind them of timely complying with this training deadline. You are also required to make arrangements to assist your employees with setting aside time to complete this training.

Please know that if any of your employees fail to complete the training by the March 31st deadline, you are required by law to remit documentation to the County Executive and Legislative Chair demonstrating the efforts you made to secure timely confirmation. Such efforts must include efforts made for the employee to receive training at a designated date, time and location prior to the training confirmation due date.

If an individual named above no longer works for the County or is currently out on an authorized leave, please so advise us by replying to this e-mail at your earliest convenience.

We thank you in advance for your timely attention to this important legal requirement.

Name of County Executive

County Executive

Name of Chair

Chairman, Chautauqua County Ethics Board

Attachments (2)

(ON ETHICS BOARD LETTERHEAD)

DATE

Re: Reminder to Timely Complete Code of Ethics Training

Dear County Employee:

Chautauqua County Local Law ____ <insert most recent Local Law number>, a Code of Ethics adopted in satisfaction of New York State General Municipal Law §806, requires County Officers and Employees to undergo annual Ethics Board training to inform and educate them as to the requirements of the Code.

In order to satisfy the 20 ____ Code of Ethics Training requirement, you are required to complete ethics-related training(s) in the NEOGOV LEARN Training System.

We have been advised by the County Department of Human Resources, that you have not completed some or all of these trainings, which are due by (____).

Please ensure your training(s) is/are timely completed in the NEOGOV LEARN Training system by this deadline to prevent any additional actions by the Chautauqua County Ethics Board, which may include a fine, attending an informal settlement conference before the Board, or attending a hearing before the Board for alleged violations of the Code of Ethics.

If you are unsure of what ethics training(s) you still need to complete, please check with your Department Head, who has been provided a list of the training(s) you need to complete, or check your pending trainings by logging into your NEOGOV account.

If you have any questions or concerns about this ethics training requirement, please contact **Name of Ethics Board Liaison** at 716-753-4644 or by email at **Email for Board Liaison**.

Should you need assistance with the NEOGOV LEARN system, please contact Training Coordinator Kathy Reisenweber at (716) 753-4575 or at ReisenwK@chqgov.com.

We thank you in advance for your timely attention to this important legal requirement.

Name of Chair

Chairman, Chautauqua County Ethics Board

Employee Name: _____

ATTACHMENT 2B TO ETHICS BOARD PROCEDURE EB-2020-01

This e-mail is sent, using “confirmation of delivery” and “read” options, 5-10 days prior to the Training confirmation due date. It is sent to Department Heads who have *board members* under their purview who have not completed the training yet.

Dear Department Head:

Chautauqua County Local Law _____ **<insert most recent Local Law number>**, a Code of Ethics adopted in satisfaction of New York State General Municipal Law §806, requires County Officers and Employees to undergo annual Ethics Board training to inform and educate them as to the requirements of the Code. The law charges Department Heads with administering the training.

We have been advised that the County Executive’s Office has not yet received training confirmation for the following board members under your purview:

- **(Name), (Name of Board)**

Please be reminded that securing training confirmation is your responsibility, and that the training confirmation is to be received by the County Executive’s Office no later than **March 31, (YEAR)**.

Please know that if any board members fail to complete the training by the March 31st deadline, you are required by law to provide a written explanation of efforts made to try

to secure their timely acknowledgement as well as your recommendation on the retention or dismissal of such individuals. This explanation must be provided to the Ethics Board within 5 business days after the annual confirmation due date.

If an individual named above no longer is a board member for the County, please so advise us by replying to this e-mail at your earliest convenience.

We thank you in advance for your timely attention to this important legal requirement.

(Name of County Executive)

County Executive

(Name of Board Chair)

Chairman, Chautauqua County Ethics Board

ATTACHMENT 2C TO ETHICS BOARD PROCEDURE EB-2021-01

This e-mail is sent, using “confirmation of delivery” and “read” options, 5-10 days prior to the Statement due date. It is sent to Department Heads with *employees under their purview who have not remitted their Statements.*

Dear Department Head:

Chautauqua County Local Law ____ <insert most recent Local Law number>, a Code of Ethics adopted in satisfaction of New York State General Municipal Law §806, requires certain County officers and employees to file financial disclosure statements. The County Ethics Board has not yet received the most recently required statement from the following officer(s) or employee(s) under your purview:

- Officer(s), Employee(s) name(s) will appear here.

Please remind the named individual(s) of the filing requirement and, as needed, assist such individual(s) in identifying work time during which the statement can be completed.

Statements must be received by the Ethics Board no later than _____
_____.

As a Department Head, the law charges you with the responsibility of suspending an Officer or Employee's ability to directly or indirectly expend County funds between the date a Statement is due, and the date it is actually received. Please add a reminder to your calendar to confirm with the designated Ethics Board liaison that the above named individual(s) has/have timely filed their statement(s), in furtherance of your compliance with the law.

Attached is/are letter(s) from the Ethics Board for you to deliver to (this/these) employee(s) to remind them of timely complying with this disclosure filing deadline. You are also required to make arrangements to assist your employees with setting aside time to complete this disclosure form.

If an individual named above no longer works for the County, no longer falls within the category of those required to file, advises you that the statement has already been filed, or is currently out on an authorized leave, please so advise us by replying to this e-mail at your earliest convenience.

We thank you in advance for your timely attention to this important legal requirement.

Name of County Executive
County Executive

Name of Chair
Chairman, Chautauqua County Ethics Board

Attachment

(ON ETHICS BOARD LETTERHEAD)

DATE

Re: Reminder to Timely File Statement of Financial Disclosure

Dear County Employee:

Chautauqua County Local Law _____ <insert most recent Local Law number>, a Code of Ethics adopted in satisfaction of New York State General Municipal Law §806, requires certain County officers and employees to file financial disclosure statements.

According to our records, the County Ethics Board has not yet received your most recently required statement, which is due by ().

Please ensure your form is received by the County Executive's Office by this deadline to prevent any additional actions by the Chautauqua County Ethics Board, which may include a fine, attending an informal settlement conference before the Board, or attending a hearing before the Board for alleged violations of the Code of Ethics.

If you have any questions or concerns, please contact Name of Ethics Board Liaison at 716-753-4644 or by email at Email for Board Liaison.

We thank you in advance for your timely attention to this important legal requirement.

Name of Chair

Chairman, Chautauqua County Ethics Board

Employee Name: _____

ATTACHMENT 2D TO ETHICS BOARD PROCEDURE EB-2021-01

This e-mail is sent, using “confirmation of delivery” and “read” options, 5-10 days prior to the Statement due date. It is sent to Department Heads with board members under their purview who have not remitted their Statements.

Dear Department Head:

Chautauqua County Local Law _____<insert most recent Local Law number>, a Code of Ethics adopted in satisfaction of New York State General Municipal Law §806, requires certain County officers and employees to file financial disclosure statements. The County Ethics Board has not yet received the most recently required statement from the following board members under your purview:

- (Name), (Name of Board)

Please remind the named individual(s) of the filing requirement and, as needed, assist such individual(s) in identifying time during which the statement can be completed. Statements must be received by the Ethics Board no later than _____.

As a Department Head, the law charges you with the responsibility of suspending an Officer or Employee’s ability to directly or indirectly expend County funds between the date a Statement is due, and the date it is actually received. Please add a reminder to your calendar to confirm with the designated Ethics Board liaison that the above named individual(s) has/have timely filed their statement(s), in furtherance of your compliance with the law.

If an individual named above no longer is a board member for the County, no longer falls within the category of those required to file, or advises you that the statement has already been filed, please so advise us by replying to this e-mail at your earliest convenience.

We thank you in advance for your timely attention to this important legal requirement.

Name of County Executive
County Executive

Name of Chair
Chairman, Chautauqua County Ethics Board

ATTACHMENT 3 - TO ETHICS BOARD PROCEDURE EB-2021-01

**CHAUTAUQUA COUNTY ETHICS BOARD
REQUEST FOR AN EXTENSION OF TIME
TO COMPLETE TRAINING AND/OR FILE A DISCLOSURE
STATEMENT**

Extensions of time are generally intended for circumstances in which an individual has an extended inability to perform services for the County, spanning all or the majority of the duration of the filing/training period. As stated in the law, "the prioritization of other County matters over the filing of the disclosure statement is not grounds for an extension of time to file."

I, _____, in my capacity as an employee or board/committee/commission member of _____, hereby request an extension of time to

- file my disclosure statement;
- file my corrected/completed/amended disclosure statement; and/or
- complete my training requirement,

for the following reason:

I will be, am, or was on approved leave from County employment through _____, 20 __, and request

an extension of time through the thirtieth (30th) business day after I return to County work/service.

I have ceased County work/service for an indeterminate period of time, and am requesting an extension of

time through the thirtieth (30th) business day after I return to County work/service.

I am requesting an extension of time through _____ for the following reason(s) (attach additional pages as needed): _____

I understand that the Board's approval of this request applies only to the current filing and reporting period.

Please use the following address to mail or e-mail me the Ethics Board's approval or denial of this request: _____

Signature: _____ Date: _____

Department Head* Approval: _____ Date: _____

Pursuant to Local Law 10-22 or its successor, the Department Head shall ensure suspension of the requesting individual's ability to directly or indirectly expend County funds until such time as the disclosure statement has been filed. This includes without limitation suspension of use of County-issued credit cards and suspension of the ability to approve vouchers, invoices, purchase orders, and contracts.

*Department Head's requests should be signed by their supervisor.

Please mail or hand deliver this form with an original department head signature to:
Chautauqua County Ethics Board * c/o Office of the County Executive
Gerace Office Building, Room 341 * 3 N. Erie Street, Mayville, NY 14757

<i>For Ethics Board Use Only:</i> <i>ERF#</i> _____ _____ Approved OR _____ Not Approved By: _____ Date: _____ Determination communicated to requestor on: _____

ATTACHMENT 4 - TO ETHICS BOARD PROCEDURE EB-2021-01

Letter: Corrections Required

Sent on Board Letterhead. If individual has a county e-mail address, the letter will be sent by e-mail using "delivery" and "read receipt" options and sent by regular mail. If individual does not have a county e-mail address, the letter will be sent by certified mail and standard mail. A corrected form will be required within 10 business days from the date on the letter.

SAMPLE TEMPLATE – INCOMPLETE/INCORRECT FORM

(DATE)

(Name & Address)

Re: Incomplete **(YEAR)** Financial Disclosure Statement

Dear **(NAME)**:

Thank you for submitting your **(YEAR)** Financial Disclosure Statement.

Upon review of your submission, enclosed with this letter, the Ethics Board noted the following incomplete / incorrect items:

- Question (# AND TITLE)
- Question (# AND TITLE).

Please fully complete the above section(s) of the form, checking “No” or “None” as applicable. Your corrected/completed Statement must be signed and dated on page 8 under “For Corrected or Amended Forms Only.

The Ethics Board will accept your corrected/completed statement, without penalty, if an **originally signed** form is **received** by the County Executive’s office, Gerace Office Building Room 341, 3 N. Erie Street, Mayville, NY 14757 by **(DATE)**. E-mailed, faxed, scanned, or copied statements will not be accepted.

If you have questions, please contact **Name of Ethics Board Liaison** at (716) 753-4644 or by email at **Email for Board Liaison** d.

Thank you for your cooperation,

Name of Chair

Chairman of the Chautauqua County Ethics Board

DR:alg

Enclosure

ATTACHMENT 5A TO ETHICS BOARD PROCEDURE EB-2021-01

Sent on Board Letterhead. If individual has a county e-mail address, the letter will be sent by e-mail using “delivery” and “read receipt” options and sent by regular mail. If individual does not have a county e-mail address, the letter will be sent by certified mail and standard mail. This letter is for *employees who filed* their SFD, but were untimely in their compliance. A response will be required within 10 business days from the date on the letter.

Date

via e-mail (as applicable): _____

Name

Address

City, State, Zip Code

CHAUTAUQUA COUNTY ETHICS BOARD NOTICE – RESPONSE REQUIRED

Re: Chautauqua County Ethics Board **Case No.** _____
Failure to Timely File Statement of Financial Disclosure

Dear _____:

Pursuant to Section 8 of Chautauqua County Local Law No. _____ <insert most recent Local Law number>, the Chautauqua County Code of Ethics (the Law), County employees subject to the annual financial disclosure requirement must file a disclosure statement within thirty days of taking office, annually no later than April 30th, and within thirty days of any material change.

According to our records you are subject to this filing requirement, and did not comply with the Law. The Ethics Board received your 20____ disclosure statement or your completed/corrected disclosure statement on _____20__, which was _____ business days after the due date (including any extension granted by the Ethics Board due to an authorized leave of absence or otherwise). If you believe our records are in error, please immediately contact the Ethics Board liaison, who will verify your status, at (716) 753-4644.

Please check a box below, and ensure this completed Notice is received by _____ at:

Chautauqua County Ethics Board
c/o Office of the County Executive
Gerace Office Building, Room 341,
3 North Erie Street
Mayville, New York 14757

Enclosed is a check in the amount of \$_____ payable to “Director of Finance, Chautauqua County,” in resolution of my alleged violation of the Law known as the Chautauqua County Code of Ethics.

I request an informal settlement conference. I understand that I may hire an attorney to represent me, at my own expense. I understand that the settlement amount offered herein may not be available at the settlement conference.

I request a hearing. I understand that I may hire an attorney to represent me, at my own expense. I understand that if I am found after a hearing to be guilty of violating the Law, I am subject to any and all penalties available under the law.

IF THE ETHICS BOARD DOES NOT RECEIVE YOUR RESPONSE BY THE DATE SPECIFIED ABOVE, YOU WILL BE SUBJECT TO ADDITIONAL ENFORCEMENT ACTION UP TO AND INCLUDING TERMINATION FROM EMPLOYMENT.

Yours very truly,

Name
Chairman of the Chautauqua County Ethics

DR:alg
Board

Cc: Department Head of the employee

ATTACHMENT 5B TO ETHICS BOARD PROCEDURE EB-2021-01

Sent on Board Letterhead. If individual has a county e-mail address, the letter will be sent by e-mail using “delivery” and “read receipt” options and sent by regular mail. If individual does not have a county e-mail address, the letter will be sent by certified mail and standard mail. This letter is for *employees who have not filed* their SFD and are untimely in their compliance. A response will be required within 10 business days from the date on the letter.

Date

via e-mail (as applicable): _____
Name
Address
City, State, Zip Code

CHAUTAUQUA COUNTY ETHICS BOARD NOTICE – RESPONSE REQUIRED

Re: Chautauqua County Ethics Board Case No. _____
Failure to Timely File Statement of Financial Disclosure

Dear _____:

Pursuant to Section 8 of Chautauqua County Local Law No. ____ <insert most recent Local Law number>, the Chautauqua County Code of Ethics (the Law), County employees subject to the annual financial disclosure requirement must file a disclosure statement within thirty days of taking office, annually no later than April 30th, and within thirty days of any material change.

According to our records you are subject to this filing requirement, and did not comply with the Law. The Ethics Board has not received your 20____ disclosure statement or your completed/corrected disclosure statement, which was due on _____ and is now _____ business days after the due date (including any extension granted by the Ethics Board due to an authorized leave of absence or otherwise). If you believe our records are in error, please immediately contact the Ethics Board liaison, who will verify your status, at (716) 753-4644.

Please check a box below, and ensure this completed Notice is received by _____ at:

Chautauqua County Ethics Board
c/o Office of the County Executive
Gerace Office Building, Room 341,
3 North Erie Street
Mayville, New York 14757

Enclosed is my disclosure statement and a check in the amount of \$_____ payable to “Director of Finance, Chautauqua County,” in resolution of my alleged violation of the Law known as the Chautauqua County Code of Ethics. **(Please note, the amount of the penalty will correspond with the amount of delay in complying with the law. For every ten (10) full County business days after the initial deadline of (DATE) that a violation continues, the penalty will increase by \$100.00).**

Enclosed is my disclosure statement and I request an informal settlement conference. I understand that I may hire an attorney to represent me, at my own expense. I understand that the settlement amount offered herein may not be available at the settlement conference.

Enclosed is my disclosure statement and I request a hearing. I understand that I may hire an attorney to represent me, at my own expense. I understand that if I am found after a hearing to be guilty of violating the Law, I am subject to any and all penalties available under the law.

IF THE ETHICS BOARD DOES NOT RECEIVE YOUR RESPONSE BY THE DATE SPECIFIED ABOVE, YOU WILL BE SUBJECT TO ADDITIONAL ENFORCEMENT ACTION UP TO AND INCLUDING TERMINATION FROM EMPLOYMENT.

Yours very truly,

Name

Chairman of the Chautauqua County Ethics

DR:alg
Board

Cc: Department Head of the employee

ATTACHMENT 5C TO ETHICS BOARD PROCEDURE EB-2021-01

Sent on Board Letterhead. If individual has a county e-mail address, the letter will be sent by e-mail using “delivery” and “read receipt” options and sent by regular mail. If individual does not have a county e-mail address, the letter will be sent by certified mail and standard mail. This letter is for *employees who completed the training, but were untimely in their compliance*. A response will be required within 10 business days from the date on the letter.

Date

via e-mail (as applicable): _____
Name
Address
City, State, Zip Code

CHAUTAUQUA COUNTY ETHICS BOARD NOTICE – RESPONSE REQUIRED

Re: Chautauqua County Ethics Board Case No. _____
Failure to Timely Complete Code of Ethics Training

Dear _____:

Pursuant to Section 9 of Chautauqua County Local Law No. _____, the Chautauqua County Code of Ethics (the Law), existing County employees must undergo Ethics Board training annually no later than March 31st.

According to our records you are subject to this training requirement, and did not comply with the Law. In order to satisfy the 20__ Code of Ethics Training requirement, you were to complete __ ethics-related trainings. Our records show that you completed ___ of these trainings by the March 31, 20__ deadline and your training confirmations were all completed on (DATE), which was ___ business days after the due date (including any extension granted by the Ethics Board due to an authorized leave of absence or otherwise). If you believe our records are in error, please immediately contact the Ethics Board liaison, who will verify your status, at (716) 753-4644.

Please check a box below, and ensure this completed Notice is received by _____ at:

Chautauqua County Ethics Board
c/o Office of the County Executive
Gerace Office Building, Room 341,
3 North Erie Street
Mayville, New York 14757

Enclosed is a check in the amount of \$_____ payable to “Director of Finance, Chautauqua County,” in resolution of my alleged violation of the Law known as the Chautauqua County Code of Ethics.

I request an informal settlement conference. I understand that I may hire an attorney to represent me, at my

own expense. I understand that the settlement amount offered herein may not be available at the settlement conference.

I request a hearing. I understand that I may hire an attorney to represent me, at my own expense. I understand that if I am found after a hearing to be guilty of violating the Law, I am subject to any and all penalties available under the law.

IF THE ETHICS BOARD DOES NOT RECEIVE YOUR RESPONSE BY THE DATE SPECIFIED ABOVE, YOU WILL BE SUBJECT TO ADDITIONAL ENFORCEMENT ACTION UP TO AND INCLUDING TERMINATION FROM EMPLOYMENT.

Yours very truly,

Name

Chairman of the Chautauqua County Ethics Board

DR:alg

Cc: Department Head of the employee

DRAFT

ATTACHMENT 5D TO ETHICS BOARD PROCEDURE EB-2021-01

Sent on Board Letterhead. If individual has a county e-mail address, the letter will be sent by e-mail using “delivery” and “read receipt” options and sent by regular mail. If individual does not have a county e-mail address, the letter will be sent by certified mail and standard mail. This letter is for *employees who have not completed* the training and are untimely in their compliance. A response will be required within 10 business days from the date on the letter.

Date

via e-mail (as applicable): _____
Name
Address
City, State, Zip Code

CHAUTAUQUA COUNTY ETHICS BOARD NOTICE – RESPONSE REQUIRED

Re: Chautauqua County Ethics Board Case No. _____
Failure to Timely Complete Code of Ethics Training

Dear _____:

Pursuant to Section 9 of Chautauqua County Local Law No. ____, the Chautauqua County Code of Ethics (the Law), existing County employees must undergo Ethics Board training annually no later than March 31st.

According to our records you are subject to this training requirement, and did not comply with the Law. In order to satisfy the 20__ Code of Ethics Training requirement, you were to complete __ethics-related trainings. Our records show that you completed ___ of these trainings by the March 31, 20__ deadline and your training confirmations, which are still due, are now ___ business days after the due date (including any extension granted by the Ethics Board due to an authorized leave of absence or otherwise). If you believe our records are in error, please immediately contact the Ethics Board liaison, who will verify your status, at (716) 753-4644.

Please check a box below, and ensure this completed Notice is received by _____ at:

Chautauqua County Ethics Board
c/o Office of the County Executive
Gerace Office Building, Room 341,
3 North Erie Street
Mayville, New York 14757

I have completed my training confirmation(s) in NEOGOV and enclosed is a check in the amount of \$_____ payable to “Director of Finance, Chautauqua County,” in resolution of my alleged violation of the Law known as the Chautauqua County Code of Ethics. **(Please note, the amount of the penalty will correspond with the amount of delay in complying with the law. For every ten (10) full County business days after the initial deadline of (DATE) that a violation continues, the penalty will increase by \$100.00).**

I have completed my training confirmation(s) in NEOGOV and I request an informal settlement conference. I understand that I may hire an attorney to represent me, at my own expense. I understand that the settlement amount offered herein may not be available at the settlement conference.

I have completed my training confirmation(s) in NEOGOV and I request a hearing. I understand that I may hire an attorney to represent me, at my own expense. I understand that if I am found after a hearing to be guilty of violating the Law, I am subject to any and all penalties available under the law.

IF THE ETHICS BOARD DOES NOT RECEIVE YOUR RESPONSE BY THE DATE SPECIFIED ABOVE, YOU WILL BE SUBJECT TO ADDITIONAL ENFORCEMENT ACTION UP TO AND INCLUDING TERMINATION FROM EMPLOYMENT.

Yours very truly,

Name

Chairman of the Chautauqua County Ethics Board

DR:alg

Cc: Department Head of the employee

ATTACHMENT 6 TO ETHICS BOARD PROCEDURE EB-2021-01

Ethics Board letter to liaisons to volunteer board members, for use when a volunteer board member failed to timely comply with training or disclosure statement requirements. The letter should be sent by email on Board Letterhead, using “delivery” and “read receipt” options.

Dear County Board Liaison:

The following board member(s) under your purview failed to timely comply with this year’s

- Code of Ethics training requirements
- Statement of Financial Disclosure filing requirement.

Name of Board: _____ Name of Board Member: _____

(add additional lines as needed)

Board members make important contributions to County government. We hope that in the future, your efforts to ensure timely compliance by this individual / these individuals will be successful. It should be expected that a board member’s future violation of the law may result in suspension or termination of their board membership.

Thank you for your efforts toward ethical County government operations.

Yours very truly,

Name

Chairman of the Chautauqua County Ethics Board

DR:alg

Ethics Board letter to volunteer board members, for use when a volunteer board member failed to timely comply with training or disclosure statement requirements. The letter should be sent on Board Letterhead, by certified mail and standard mail.

Dear County Board Member:

Board members make important contributions to County government. Your service on the _____ board is very much appreciated.

According to our records, you did not timely comply with this year's

- Code of Ethics training requirements
- Statement of Financial Disclosure filing requirement.

We respectfully request that these important requirements be timely complied with in the future. This will relieve County staff, the County Ethics Board, and appointing authorities from expending time following up with you. It will also foster County compliance with the law and further ethical County government operations.

Thank you.

Yours very truly,

Name

Chairman of the Chautauqua County Ethics Board

DR:alg

DRAFT

Appendix H: Revisions to Local Law Amending Chautauqua County Code of Ethics

LOCAL LAW 10-22 CHAUTAUQUA COUNTY

A LOCAL LAW AMENDING THE CHAUTAUQUA COUNTY CODE OF ETHICS

BE IT ENACTED, by the County Legislature of the County of Chautauqua, New York, as follows:

I. Local Law ~~2-24~~10-22 of the County of Chautauqua, entitled "A Local Law Amending the Chautauqua County Code of Ethics, is hereby amended by substitution to state as follows:

Section 1. Short Title

This code of ethics shall be known as the "Chautauqua County Code of Ethics."

Section 2. Legislative Purpose

The purpose of this Code is to establish minimum standards of ethical conduct for County officers and employees to ensure that County government is free from improper influence. Ethical conduct ultimately depends on the personal integrity of County officers and employees and on the vigilance of their communities. The establishment of the standards and guidelines set forth in this code is a step toward providing the highest caliber of public administration for County government and increased confidence in its officials, while recognizing that public service cannot require a complete divesting of all proprietary interests nor impose overly burdensome disclosure requirements if County government is to attract and hold competent administrators.

By requiring public disclosure of interests that may influence or be perceived to influence the actions of County officials, this code is intended to facilitate consideration of potential problems before they arise, to minimize unwarranted suspicion, and to enhance the accountability of government to the people.

The disclosure requirements of this Code of Ethics are in addition to any other requirements imposed by law. Additional disclosure to the public is available pursuant to the New York State Freedom of Information Law and Election Law requirements. Copies of all contracts with the County are also available for public inspection at the Office of the Clerk of the County Legislature.

Section 3. Definitions

When used in this Code and unless otherwise expressly stated:

1. "Agency" means any office, board, body, advisory board, council, commission, agency, department, district, administration, division, bureau, or committee of the County.

2. "Appear" and "Appear Before" mean communicating in whatever form, whether personally or through another person.
3. "County Officer or Employee" means any officer or employee of the County, whether paid or unpaid, including Public Officials and all other members of any Agency of the County, but does not include a judge, justice, officer, or employee of the Unified Court System.
4. "Dependent" means an individual who will be claimed by the County Officer or Employee as a dependent on the current year's State or Federal tax return.
5. "Family Member" means a spouse, child, ~~step-child~~ parent, ~~step-parent~~, or sibling, including step, adoptive and half relations, step-sibling, half-sibling, a Dependent, and a household member of a County Officer or Employee.
6. "Nepotism" means giving unfair or undue preferential or favorable treatment to a Related Person, significant other, or friend.
- ~~7.~~ 6. "Person" means an individual, corporation, partnership, unincorporated association, and all other entities.
- ~~7.8.~~ 7. "Related Person" means, a spouse, fiancé(e), parent, parent-in-law, grandparent, child, grandchild, or sibling, sibling-in-law, first cousin, aunt, uncle, niece, or nephew, including step, adoptive, and half relations, a grandparent, parent-in-law, sibling-in-law, a fiancé(e)'s Dependent, parent or child, and a member of the County Officer or Employee's, or their fiancé(e)'s, household. ~~first cousin, aunt, uncle, niece, or nephew.~~
9. ~~9.~~ "Public Official" means any official who has discretionary authority, either alone or as a member of an Agency, but does not include a judge, justice, officer, or employee of the Unified Court System.
10. "Supervising Authority" means the County Executive or the County Legislature, in accordance with the County Charter and Administrative Code. In the case of units which are not supervised by either the County Executive or the County Legislature, such as the Board of Elections, the Director of Human Resources will serve as the Supervising Authority.

Section 4. Conflicts of Interest of County Officers and Employees

1. No County Officer or Employee shall directly or indirectly do or take any act prescribed below, or agree to do such acts, or attempt such acts, or induce another Person to do such acts:

- a. act or Appear as agent, broker, employee, consultant, or representative for any third party in connection with any transaction that involves discretionary acts of any County Officer or Employee or act or Appear in any matter in which the County is a party or a complainant except on behalf of the County or himself or herself.
- b. solicit any gift, or accept or receive any gift having a value of seventy-five dollars (\$75.00) or more per year from any Person, other than a Family Member, whether in the form of money, service, loan, travel, entertainment, hospitality, thing or promise, or in any other form, who the County Officer or Employee knows is considering or has had any transactions with the County that involves any discretionary act by the County Officer or Employee.
- c. take or refrain from taking any action on any matter before the County in order to obtain a pecuniary or material benefit different from that to be derived by the general public for:
 - (i) himself or herself,
 - (ii) a ~~Family Member~~ Related Person;
 - (iii) any partnership or unincorporated association of which the County Officer or Employee is a member or employee or in which he or she has a proprietary interest;
 - (iv) any corporation of which the County Officer or Employee is an officer or director or of which he or she legally or beneficially owns or controls more than five percent (5%) of the outstanding stock;
 - (v) any Person with whom the County Officer or Employee or his or her Family Member has an employment, professional, business, or financial relationship, provided, however, that relationships which are available to and entered into by the general public on the same terms and conditions as those applicable to the County Officer or Employee, such as relationships in the nature of bank accounts, credit cards, bank loans, and mortgages, shall not be deemed to be financial relationships for purposes of this section; or
 - (vi) any Person from whom the County Officer or Employee or his or her spouse has received a pecuniary or material benefit having an aggregate value greater than two thousand dollars (\$2,000.00) per calendar year.

Examples of material or pecuniary benefits include, but are not limited to, hiring, promoting, authorizing a pay increase, providing a performance review, a job assignment or job description change, work schedule change, approving payroll, approving a voucher or expense claim, awarding a contract, extension of time to perform a contract, a contract dollar amount increase, and purchasing goods.

Nothing in this section shall be construed as prohibiting a County Officer or Employee from performing a purely ministerial act.

Notwithstanding the above, a County Officer or Employee may respond to questions asked by an individual who will be taking or refraining from taking an action.

- d. solicit directly or indirectly any non-elected County Officer or Employee or any entity that is not subject to competitive bidding, to participate in an election campaign, or pay any assessment, subscription, or contribution to a political party, political party organization or election campaign, or to otherwise participate in political activities. This paragraph shall not prohibit a general solicitation of a class of persons, other than those expressly prohibited, of which such solicited County Officer or Employee happens to be a member.
- e. except where authorized by law, disclose any confidential information acquired in the course of official duties or use any such information for personal gain or to advance the financial interests of any other Person.
- f. after termination of his or her term of office or employment with the County, Appear Before the County or receive compensation for any services rendered on behalf of any Person other than the County in relation to any particular matter upon which he or she took any discretionary act during his or her term of office or employment with the County; provided, however, that this provision shall not prohibit the continuance of an existing contract when the former County employee has become the head of an entity that is a sole source for goods or services required by the County, or when the County Department Head determines that there is insufficient alternative availability of needed goods or services.
- g. no paid County Officer or Employee shall for two years after the termination of employment provide professional or managerial services for a third party on any matter involving his or her former County Agency; provided, however, that this provision shall not prohibit the continuance of an existing contract when the former County employee has become the head of an entity that is a sole source for goods or services required by the County, or when the County Department Head determines that there is insufficient alternative availability of needed goods or services.

This subsection shall not apply to any elected official, member, or employee of a federal, state, or local government or one of their agencies or instrumentalities, or to any action by a licensed attorney that is permitted by the New York State Rules of Professional Conduct. Retired County Officers or Employees who were working for a third party on a matter involving their former County Agency at the time of enactment of this Law may continue to perform such work as long as their actions do not violate the terms of this paragraph "g" as it was written on their date of retirement.

- i. act or Appear as an attorney in: (1) any litigation in which the County is a party or complainant that involves torts, civil rights, contracts, or eminent domain, except on behalf of the County or himself of herself, or (2) any other matter in which the County is a party or complainant that would constitute a violation of the New York State Rules of Professional Conduct.

2. No partnership, unincorporated association, corporation or any other entity owned or controlled by a County Officer or Employee shall Appear Before any County department or Agency which employs such County Officer or Employee except on behalf of the County or itself

3. Nothing in this Local Law shall be construed to prohibit a County Officer or Employee or any other Person from receiving a County service or benefit or using a County facility which is generally available to residents or to a class of residents in the County

4. Nothing in this Local Law shall be construed to prohibit a County Officer or Employee from performing any ministerial act.

5. Nothing in this Local Law shall be construed to prohibit an unpaid member of a County Agency from acting or appearing for a third party regarding a matter unrelated to the business of their County Agency, nor prohibit a County Officer or Employee who is an elected Public Official of another governmental entity from acting or appearing in their official capacity on behalf of such other governmental entity.

6. Nothing in this Local Law shall be construed to prohibit an unpaid member of an advisory County board, bureau, council, committee, or commission from acting or Appear for a third party regarding a contract with the County when such member has no power or duty on behalf of the County to:

- a. negotiate, prepare, authorize or approve the contract or authorize or approve payment thereunder;
- b. audit bills or claims under the contract; or
- c. appoint a County Officer or Employee who has any of the powers or duties set forth above.

7. Nothing in this Local Law shall be construed to prohibit a County Officer or Employee from serving in an unpaid capacity as an officer or director of a non-profit or governmental entity, when such service is in furtherance of the official duties of the County Officer or Employee.

8. Nothing in this Local Law shall be construed to prohibit a member of a County advisory board, bureau, council, committee, or commission (collectively Advisory Body), who was selected to serve on the Advisory Body due to involvement in a particular industry, or employment by a particular entity, from taking action on a matter before the Advisory Body

which has the potential to benefit or result in additional revenues to the industry or entity, provided such action is not binding on the County and is subject to further County approval.

Section 5. Nepotism

1. County employees must disclose to the Director of Human Resources the name of any Related Person who is an employee of the County. Such disclosure shall be made, using a form provided for that purpose.
 - a. upon initial passage of this Law, such disclosure to be made within thirty (30) days of notification by the Department of Human Resources to do so, with all County Officers and Employees completing the nepotism disclosure form to assure that all were aware of and complied with this requirement.
 - b. within ten (10) business days of hire, election, or appointment; and
 - c. within ten (10) business days of a Related Person newly becoming a County employee, or of an existing County employee newly becoming a Related Person.

2. Except as otherwise required by law, or when determined by the Supervising Authority to be in the best interest of the County and otherwise consistent with this Law:
 - a. No County Officer or Employee, either individually or as a member of an Agency, may participate in any decision specifically to appoint, hire, promote, discipline, or discharge a Related Person for any position at, for or within the County or a County Agency.
 - b. No County Officer or Employee may supervise a Related Person in the performance of the Related Person's official powers or duties.

3. The Director of Human Resources will assist County supervisors with the development of safeguards to prevent Nepotism and the potential perception of Nepotism. In determining how to proceed, office morale, the overall working environment, and County integrity may take precedence over convenience or established arrangements.

Section 65. Interests in Contracts Pursuant to General Municipal Law

1. No County Officer or Employee may have an interest in a contract that is prohibited by section 801 of New York General Municipal Law.

2. Every County Officer and Employee shall disclose interests in actual or proposed contracts with the County at the time and in the manner required by section 803 of New York General Municipal Law.

Section 76. Use of County Resources

1. The use of County resources by County Officers and Employees shall be in compliance with County policies and procedures. County resources include but are not limited to personnel time, position, money, vehicles, equipment, materials, supplies, and real property.
2. County resources shall not be used in a manner which is illegal or in furtherance of illegal activities.
3. No County Officer or Employee may use County resources for meaningful personal or private financial gain or material benefit; provided, however, that this provision shall not be construed as prohibiting:
 - a. a use of County resources authorized by law or County policy; or
 - b. a use of County resources for personal or private purposes when provided to a County Officer or Employee as part of such Officer or Employee's job responsibilities.

Section 87. Procurement Integrity

1. While procuring property or services of more than fifty thousand dollars (\$50,000.00) in value, no County Officer or Employee shall solicit, discuss, or accept, directly or indirectly, any promise of future employment or business opportunity from any contractor competing for such procurement.

2. While competing for award of a County procurement of property or services of more than fifty thousand dollars (\$50,000.00) in value, no contractor shall discuss or make, directly or indirectly, any offer or promise of future employment or business opportunity to any official of the County involved in such procurement.

Section 98. Annual Disclosure

1. All Public Officials who are elected or paid, and all County Officers or Employees who are authorized to use County-issued credit cards or to approve vouchers, invoices, purchase orders or contracts, such as purchasing clerks and purchasing agents, shall file with the Ethics Board, by depositing with the Office of the County Executive, a signed annual disclosure statement using a form approved by the Ethics Board which shall be substantially in conformance with the ~~2022-2023~~ disclosure statement form filed with the Clerk of the County Legislature.

- a. within thirty (30) days of taking office; and
- b. no later than April 30 of each year thereafter.

A list of those titles which are subject to County disclosure requirements, as the same may be amended from time to time by the Ethics Board, is on file with the Clerk of the Legislature and in the office of the County Executive.

The Ethics Board shall have free and unlimited access to all forms at all times.

County department heads shall ensure that if an Officer or Employee under the department head's purview who is required to file a statement does not timely file a statement, such Officer or Employee's ability to directly or indirectly expend County funds is suspended until such time as the statement has been filed. This will include without limitation suspension of use of County-issued credit cards and suspension of the ability to approve vouchers, invoices, purchase orders, and contracts. Before May 15th of each year, the County Executive shall verify that every affected County Officer or Employee has filed his or her annual disclosure statement. Failure of the Department Head or the County Executive to comply with these requirements shall not relieve any individual from his or her duty to timely file a disclosure statement pursuant to this Code of Ethics.

2. Within thirty (30) days of any material change in the information contained in his or her most recently filed statement, the County Officer or Employee shall file a signed amendment to the statement indicating the change.

3. If a County Officer or Employee subject to the filing requirement is unable to timely file the statement or amended statement due to approved leave-time (excluding vacation time), illness, injury, lack of County engagement, or other justifiable circumstances, such individual must submit for Ethics Board approval a written request for an extension of time to file, approved by such Officer or Employee's department head or by the County Executive or Legislative Chair. The request shall be supported by such documentation as may be reasonably requested by the Ethics Board. The prioritization of other County matters over the filing of the disclosure statement is not grounds for an extension of time to file.

4. If a County Officer or Employee who is elected or paid is not able, after reasonable efforts, to obtain some or all of the information required by paragraph two 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.

5. The Ethics Board shall review all disclosure statements. Upon being satisfied as to the content and completeness of a statement, the Ethics Board shall return the statement to the Office of the County Executive, which will in turn file the original statement with the County Clerk and an electronic copy with the Clerk of the Legislature. All such statements are public records and shall be kept on file for at least seven (7) years.

6. If the Ethics Board finds a disclosure statement to be deficient, the Ethics Board will provide written notification of the deficiency(ies) to the filer along with a date or period of time

by which the deficiency(ies) must be cured. If all deficiencies are not cured within the specified date or time period, and the otherwise applicable filing deadline has passed, the Disclosure Statement may be deemed to have been untimely filed.

Section 109. Training and Distribution of Code

1. All County Officers and Employees subject to the requirements of the Chautauque County Code of Ethics are required to undergo annual Ethics Board training to inform and educate them as to the requirements of this Code. At least every five (5) years starting in 2022, the training will consist of or include the Code of Ethics. In other years, the training will include either a paper copy of the Code or information about where the Code can be found online.

2. County employees shall confirm completion of Ethics Board training, and County board, bureau, council, committee, and commission members (collectively County Participants) shall acknowledge receipt of such training, in written or electronic form in the manner specified by the Department of Human Resources or the County Executive's office, as follows:

- a. on the day of employee orientation for all new employees;
- b. within thirty days of receipt of training materials for newly appointed County Participants; and
- c. by March 31st for existing employees and County Participants;

Notwithstanding the above, the Ethics Board may extend a due date due to approved leave-time (excluding vacation time), illness, injury, lack of County engagement, or other justifiable circumstances. The prioritization of other County matters over completion of ethics training is not grounds for an extension of time to file.

County employees shall cooperate with any request made by their supervisor that they complete, and confirm completion of, the annual training, *earlier than* March 31st.

Notwithstanding the fact that the Ethics Board's training is administered by the Department of Human Resources and Department Heads, County Officers and Employees bear ultimate responsibility for their timely compliance with this Law.

3. Training will be administered as follows:

- a. The County Department of Human Resources will provide the Ethics Board's training materials to:
 - (i) new employees, as part of the new employee orientation process, securing written confirmation of completion during orientation; and
 - (ii) County Department Heads annually, no later than March 1st, with optional Department of Human Resources distribution to some or all County employees.
- b. Department Heads shall administer annual training for all County employees under their purview and shall ensure that each ~~employee~~ employee ~~timely~~ employee timely confirms

completion of the training. In the event an employee under the Department Head's purview fails to timely confirm completion of the training, the Department Head shall remit to the County Executive and Legislative Chair, documentation demonstrating efforts made by the Department Head to secure timely confirmation. Such documentation shall reflect arrangements made by the Department Head for the employee to receive training at a designated date, time and location prior to the training confirmation due date.

- c. For board members and others subject to the training requirement who are not County employees, the appointing authorities or their designees shall provide a copy of the training materials to each such individual upon such individual's appointment, and annually no later than March 1st, and shall secure written or electronic confirmation of receipt in the manner specified by the Office of the County Executive.
- d. Appointing authorities or their designees shall certify to the County Ethics Board within five (5) business days of the annual confirmation due date that all non-employees under their purview and subject to the training requirement have acknowledged receipt of the annual training materials. If such an individual has not timely acknowledged receipt of the materials, the certification shall include a written explanation of efforts made to secure timely acknowledgment as well as a recommendation on retention or dismissal of such individual.

4. If a County Officer or Employee subject to the training requirement is unable to complete the training by the deadline due to approved leave-time (excluding vacation time), illness, injury, lack of County engagement, or other justifiable circumstances, such individual must submit for Ethics Board approval a written request for an extension of time to complete the training, approved by such Officer or Employee's department head, board liaison, the County Executive, or the Legislative Chair. The request shall be supported by such documentation as may be reasonably requested by the Ethics Board. The prioritization of other County matters over completion of ethics training is not grounds for an extension of time to file.

Section 4011. Reporting Violations

All County Officers and Employees are encouraged to report any instances of suspected or known violations of this Code. Reports may be made to a supervisor, to the Chautauqua County Ethics Board c/o Office of the County Executive, 3 North Erie Street, Mayville, New York 14757, or to the Ethics Board at PO Box ~~109, Mayville, New York 14757~~ ~~13, Jamestown, New York 14702-0013~~. Making a report with knowledge that all or part of the information in the report is false or misleading is a violation of this Code and may result in penalties as provided herein.

Section 4412. Inducement of Violations

Any Person, whether or not a County Officer or Employee, who intentionally induces any County Officer or Employee to take any action or to refrain from taking any action in violation of any provision of this Code, violates this Code.

Section 1213. Civil and Administrative Penalties

1. Any County Officer or Employee who engages in any action that violates any provision of this Code may be warned or reprimanded or suspended or removed from office or employment or be subject to any other sanction authorized by law or collective bargaining agreement, by the appointing authority or Person or body authorized by law to impose such sanctions.

2. Any County Officer or Employee who violates any provisions of this Code may be subject to a civil fine of up to ten thousand dollars (\$10,000) for each violation, as may be determined by the Ethics Board. A civil fine may be imposed in addition to any other penalty contained in any other provisions of law or in this Code.

3. Any County Officer or Employee who violates any provision of this Code shall be liable in damages to the County for any losses or increased costs incurred by the County as a result of the violation. Such damages may be imposed in addition to any other penalty contained in any other provision of law or in this Code.

Section 1214. County Ethics Board

1. Establishment. The County Legislature hereby establishes an Ethics Board consisting of five (5) members. The Ethics Board shall be responsible for ensuring full compliance with the Code of Ethics. All actions of the Ethics Board shall be by a vote of at least three (3) members. Members of the Ethics Board shall serve without compensation.

2. Appointment. Members of the Ethics Board shall be appointed by the County Executive and confirmed by a two-thirds vote of the County Legislature. No Ethics Board members shall hold office in a political party, be employed as a lobbyist, have a Family Member who is a County Officer or Employee, or have any financial interest in any contracts or other transactions involving the County.

3. Term. The members of the Ethics Board shall serve three-year staggered terms. If a vacancy occurs on the Ethics Board, the new member shall be appointed to fill the unexpired portion of the term. Members of the Ethics Board may be removed for cause by the County Executive with the concurrence of two-thirds of the County Legislature. Grounds for removal shall be neglect of duty, misconduct in office, inability to discharge the powers or duties of the office, or violation of the Code of Ethics. Prior to removal, the Ethics Board member shall be given written notice of the reasons for removal and an opportunity to reply.

4. Powers and Duties. The Ethics Board shall have the following powers and duties:

- a. Prescribe and promulgate rules and regulations governing its internal organization and procedures consistent with the Code of Ethics;
- b. Review with County Officers or Employees the disclosure requirements of this Code, and ensure proper filing of all disclosure statements;

- c. Conduct investigations, hearings, and other examinations relating to the Code of Ethics, with the power to issue subpoenas where necessary;
- d. Recommend and impose sanctions, penalties, or fines in accordance with the Code of Ethics;
- e. Render advisory opinions upon request of any County Officer or Employee;
- f. Recommend content for training and education of County officers and employees regarding the requirements of the Code of Ethics;
- g. Prepare an annual report;
- h. Recommend changes or improvements to the Code of Ethics;
- i. Perform such other related duties as requested by the County Executive;
- j. Meet at least four times a year, and send notice of meetings and the names of Ethics Board members to the County's official newspapers and to radio stations in the County. In addition, notice of meetings and the names of Ethics Board members shall be posted on the County's website; and
- k. Arrange for a separate post office box for the Ethics Board, accessible only by officers of the Ethics Board.

Section ~~4~~15. Separability

If any clause, sentence, paragraph, or section of this Code of Ethics is adjudged by any court of competent jurisdiction to be invalid, such adjudication shall not affect, impair or invalidate the remainder thereof, and the unaffected portions of this Code of Ethics shall remain in full force and effect.

II. This Local Law shall become effective upon filing with the Secretary of State.

Appendix I: Revised Statement of Financial Disclosure

~~2023~~ (YEAR) ANNUAL STATEMENT OF FINANCIAL DISCLOSURE FOR THE COUNTY OF CHAUTAUQUA

DIRECTIONS: You must answer all questions. If you have no information to enter, check "No" or None." If you need additional space for any answers, please attach a separate sheet. Please note, this form does not take the place of the required nepotism disclosure, YOU MUST ANSWER ALL QUESTIONS
~~(If you have no information to enter, check "No" or "None")~~

~~If you need additional space for any answers, please attach a separate sheet.~~

1. NAME AND ADDRESS.

Full Name (including middle initial)

Title of County Employee or County Board Member

County Department or County Board Name

Preferred Mailing Address (include street, city, state and zip code). Please provide your preferred mailing address for the Ethics Board to contact you should it have any follow-up questions regarding your form.

2. SPOUSE. Provide the name of your spouse (if married) including first name, middle initial and last name, and include his or her middle initial.

NO SPOUSE (Check if appropriate)

Spouse

3. CHILDREN. Provide the names and ages of any dependent children, including first name, middle initial, and last names for all. A dependent child is a child who may be listed on your federal tax return as a dependent during the year in which the disclosure form is completed.

NO DEPENDENT CHILDREN (Check if appropriate)

Child/Age

Child/Age

Child/Age

Child/Age

Child/Age

Child/Age

(If you have more than six (6) children, please provide their names and ages on a separate sheet.)

NAME: _____
2024/2025

4. EMPLOYMENT

a. **Non-County-Government Employment.** Describe any non-county government occupation, employment, trade, business or profession providing more than \$1,000.00 of income in the previous calendar year for you (and/or your spouse and/or dependent children). For past employment, please complete Question 4c.

NONE (Check if appropriate)

Name of Family Member	Position	Name, Address & Description of Organization

b. **Future Employment.** Describe any contract, promise or other agreement between you and any third party, with respect to your employment after leaving your County office or position. Include the name and address of the other party, and describe the nature of the future employment.

NONE (Check if appropriate)

c. **Past Employment.** Identify the source and nature of any income currently received, or received in the previous twelve (12) months, in excess of \$1,000.00 per calendar year from any prior employer, including wages, deferred income, contributions to a pension or retirement fund, profit sharing plan, severance pay, or payments under a buy-out agreement.

NONE (Check if appropriate)

Name & Address of Income Sources	Description of Income (i.e., pension, deferred, etc.)

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STATEMENT OF FINANCIAL DISCLOSURE
FOR

NAME: _____

2024 (YEAR)

5. BUSINESS POSITIONS. List any office, trusteeship, directorship, partnership, or other position in any business, municipality, association, proprietary, or not-for-profit organization for you (and/or your spouse and/or dependent children), which has not been listed above, and indicate whether these businesses are involved with the County of Chautauqua in any manner. This includes volunteer, unpaid positions on boards including advisory boards.

NONE (Check if appropriate)

Name of Family Member	Position	Organization	County Department or Agency and Nature of Involvement
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

6. ASSETS AND INVESTMENTS

a. Investments. Itemize and describe all investments in excess of \$5,000.00 or five percent (5%) of the value in any business, corporation, or partnership (including those controlled by you, your spouse and dependent children); and other assets including stocks, bonds, loans, pledged collateral, and other investments (for you and/or your spouse and/or dependent children). You do not need to list checking or savings accounts, investments in Federal programs (such as Social Security) or a State of New York retirement plan.

NONE (Check if appropriate)

Name of Family Member	Name & Address of Business	Description of Investment
_____	_____	_____
_____	_____	_____
_____	_____	_____

b. Real Estate. List the location of all real estate within the County or within five (5) miles of the County in which you (and/or your spouse and/or dependent children) have an interest or had an interest in the previous calendar year, regardless of its value. **You do not need to list property listed on the deed of your primary residence.**

NONE (Check if appropriate)

Name of Family Member	Location of Real Estate	Description of Investment
_____	_____	_____
_____	_____	_____
_____	_____	_____

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STATEMENT OF FINANCIAL DISCLOSURE
FOR

NAME: _____

2011 YEAR

c. **Trusts.** Identify each interest in a trust or estate or similar beneficial interest in any assets in excess of \$1,000.00, except for IPS eligible retirement plans or interests in an estate or trust of a Related ~~person/Person~~ as such term is defined in the County's Code of Ethics, for you (and/or your spouse and/or dependent children). As defined by the Code of Ethics, a "Related Person" means a spouse, fiancé(e), parent, parent-in-law, grandparent, child, grandchild, sibling, sibling-in-law, first cousin, aunt, uncle, niece, or nephew, including step, adoptive, and half relations; a fiancé(e)'s parent or child; and a member of the County Officer or Employee's or their fiancé(e)'s household.

NONE (Check if appropriate)

Name of Family Member	Trustee/Executor	Description of Trust/Estate
_____	_____	_____
_____	_____	_____

7. **OTHER INCOME.** Identify the source and nature of any other income in excess of \$1,000.00 per calendar year from any source not described above, including teaching income, lecture fees, consultant fees, contractual income, or other income of any nature, for you (and/or your spouse and/or dependent children). This should include any income for which you have received an IRS form 1099 showing income in excess of \$1,000.00 during the preceding year.

NONE (Check if appropriate)

Name of Family Member	Name & Address of Income Source	Nature of Investment
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

8. **GIFTS AND HONORARIUMS.** List the source of all gifts aggregating in excess of \$250.00 received during the last calendar year by you (and/or your spouse and/or dependent children) excluding gifts from a Related ~~person/Person~~ As defined by the Code of Ethics, a "Related Person" means a spouse, fiancé(e), parent, parent-in-law, grandparent, child, grandchild, sibling, sibling-in-law, first cousin, aunt, uncle, niece, or nephew, including step, adoptive, and half relations; a fiancé(e)'s parent or child; and a member of the County Officer or Employee's or their fiancé(e)'s household, as defined in the Code of Ethics. The term "gifts" includes gifts of cash, property, personal items, payments to third-parties on your behalf, forgiveness of debt, honorariums, services, travel, entertainment, hospitality, thing or promise, non-employment donations to a retirement plan, discounts not available to members of the public, and any other payments or items that are not reportable as income. Gifts received from a Related ~~person/Person~~ acting as an agent for a third party must be disclosed.

NONE (Check if appropriate)

Name of Family Member

Name & Address of Donor

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

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STATEMENT OF FINANCIAL DISCLOSURE

NAME: _____

FOR _____

2014 (YEAR)

9. THIRD-PARTY REIMBURSEMENTS. Identify and describe the source of any third-party reimbursement within the past 12 months for travel-related expenditures in excess of \$250.00 for any matter that relates to your official duties. The term "reimbursement" includes any travel-related expenses provided by anyone other than the County for speaking engagements, conferences, or fact finding events that relate to your official duties. Report all reimbursement aggregating \$250.00 or more, whether paid by one or more individuals or entities.

NONE (Check if appropriate)

Source

Description

_____	_____
_____	_____
_____	_____
_____	_____

10. LOANS. Describe all loans to you (and/or your spouse and/or dependent children) in excess of \$5,000.00 where the creditor is not a federally insured bank, a Federal or state loan program, or savings and loan institution, or a Related person Person (as defined in the Code of Ethics) as defined by the Code of Ethics, a "Related Person" means a spouse, fiancé(e), parent, parent-in-law, grandparent, child, grandchild, sibling, sibling-in-law, first cousin, aunt, uncle, niece, or nephew, including step, adoptive, and half relations, a fiancé(e)'s parent or child, and a member of the County Officer or Employee's, or their fiancé(e)'s household.

NONE (Check if appropriate)

Name of Family Member

Name & Address of Creditor

_____	_____
_____	_____
_____	_____
_____	_____

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II. **POLITICAL PARTIES.** List any position you held within the last five (5) calendar years as an officer of any political party, political committee, or political organization. The term "political organization" includes any independent body or any organization that is affiliated with or a subsidiary of a political party.

NONE (Check if appropriate)

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STATEMENT OF FINANCIAL DISCLOSURE
— FOR

NAME: _____

2022 YEAR

12. **INTEREST IN CONTRACTS.** Describe any interest you (and/or your spouse, minor children, or dependents) have in any actual or proposed contract involving the County or any town, village, or city within the County. "Interest" means a direct or indirect pecuniary or material benefit accruing to you (and/or your spouse, minor children or dependents) as the result of a contract with the County. Besides any direct contractual relationships with the County, you (and/or your spouse, minor children or dependents) shall be deemed to have an interest in a contract between the County and: (a) a firm, partnership or association of which you or such family member is a member or employee; (b) a corporation of which you or such family member is an officer, director, or employee, but shall not include a contract of employment with the County; and (c) a corporation any stock of which is owned or controlled directly or indirectly by you or such family member. Pursuant to State Law, interests in contracts must be disclosed in writing to your immediate supervisor. The Ethics Board Liaison will also remit it to the Chautauque County Legislature as required. The disclosure made herein is intended to fulfill the requirements of Section 805 of General Municipal Law.

NONE (Check if appropriate)

<u>Name of Family Member</u>	<u>Contract Description</u>

Example:

<u>Name of Family Member:</u>	<u>Full Name (No abbreviations) of Person, Business or Organization that Family Member is affiliated with that has a contract directly with the County:</u>	<u>Family Member's role / affiliation with the listed Person, Business or Organization:</u>	<u>Description of the services provided through this contract:</u>
<u>John P. Smith</u>	<u>Green Tree</u>	<u>Employee - Accountant</u>	<u>Landscaping services</u>

	<u>Landscaping Inc.</u>	<u>Manager</u>	<u>for various county locations.</u>
<u>Jane L. Doe</u>	<u>Jane L. Doe</u>	<u>Self</u>	<u>Contract to serve as an Emergency Medical Services Instructor.</u>
<u>Self</u>	<u>Chautauque County Visitors Bureau.</u>	<u>Board member</u>	<u>Tourism promotion.</u>

Name of Family Member: _____ Full Name (No abbreviations) Person, Business or Organization that Family Member is affiliated with that has a contract directly with the County _____ Family Member's role / affiliation with the listed Person, Business or Organization _____ Description of the services provided through this contract _____

PAGE 7 STATEMENT OF FINANCIAL DISCLOSURE
NAME: _____ FOR YEAR _____

CERTIFICATION:

I hereby certify under penalty of perjury that the information disclosed on this form is true and complete to the best of my knowledge. A reporting individual who knowingly and willfully fails to file an annual statement of financial disclosure or who knowingly and willingly with intent to deceive makes a false statement or gives information which the individual knows to be false on this statement of financial disclosure may be subject to civil and/or criminal penalties as allowed by law.

I hereby acknowledge that if I am disclosing interest in contracts that it is my responsibility to also provide a copy of my form to my immediate supervisor.

I hereby further acknowledge my continuing responsibility to disclose any conflicts of interest or potential conflicts of interest and/or recuse myself from any act or action as required by Chautauque County's Code of Ethics. I certify that I will undertake and carry out this responsibility to the best of my ability.

Signature _____

Date _____

For Corrected or Amended Form Only:

Signature _____

Date Corrected or Amended _____

THE DEADLINE FOR FILING IS APRIL 30, 2023 (YEAR).

Please return the originally signed, completed form to:
the County Executive's Office, Gerace Office Building, 3 N. Erie St., Mayville, NY 14757.

In the event of a material change to the information reported on this form,
an amended form must be filed within thirty (30) days of such change.

FOR OFFICE USE ONLY

Reason for Filing:

New Appointment

(Required to file within 30 days of taking office)

Annual Filing

(Required to file by April 30th of each year)

Missing Amendment(s)

(Required to file within 30 days of any material change)

Ethics Board Review and Approval:

(Board Member's Initials)

(Date Form was Reviewed and Approved)

Exp. 3/31/2023