

ALBANY CONVENTION CENTER AUTHORITY  
EMPLOYEE CODE OF ETHICS

It is the policy of the Albany Convention Center Authority (“ACCA”) to have its employees govern themselves in an ethical manner consistent with the law, specifically sections 73, 73-a and 74 of the Public Officers Law and the regulations cited in 19 NYCRR Part 930, et. seq. This Code of Ethics applies to every employee of the ACCA.

I. Conflicts of Interest

Rule with respect to conflicts of interest: No employee shall have any interest, financial or otherwise, direct or indirect, or engage in any business or transaction or professional activity or incur any obligation of any nature, which is in substantial conflict with the proper discharge of his duties in the public interest.

Standards:

a. No employee shall accept other employment which will impair his independence of judgment in the exercise of his official duties.

b. No employee shall accept employment or engage in any business or professional activity which will require him to disclose confidential information which he has gained by reason of his official position or authority.

c. No employee shall disclose confidential information acquired by him in the course of his official duties nor use such information to further his personal interests.

d. No employee shall use or attempt to use his or her official position to secure unwarranted privileges or exemptions for himself or herself or others, including but not limited to, the misappropriation to himself, herself or to others of the property, services or other resources of the state for private business or other compensated non-governmental purposes.

e. No employee shall engage in any transaction as representative or agent of the state with any business entity in which he has a direct or indirect financial interest that might reasonably tend to conflict with the proper discharge of his official duties.

f. An employee shall not by his conduct give reasonable basis for the impression that any person can improperly influence him or unduly enjoy his favor in the performance of his official duties, or that he is affected by the kinship, rank, position or influence of any party or person.

g. An employee shall abstain from making personal investments in enterprises which he has reason to believe may be directly involved in decisions to be made by him or which will otherwise create substantial conflict between his duty in the public interest and his private interest.

h. An employee shall endeavor to pursue a course of conduct which will not raise suspicion among the public that he is likely to be engaged in acts that are in violation of his trust.

i. No employee nor any firm or association of which such an employee is a member, nor any corporation of which a substantial portion of the stock is owned or controlled directly or indirectly by such employee, should sell goods or services to any person,

firm, corporation or association which is licensed or whose rates are fixed by the ACCA.

## II. Financial Disclosure

Annual statements of financial disclosure are required of all employees designated as a policymaker or serve in a position with an annual salary rate in excess of the job rate of SG24.

## III. Gifts

Employees shall not accept or solicit a gift of more than nominal value.

## IV. Outside Activities

No employee may engage in any outside activity that interferes or is in conflict with their official duties of the ACCA. Employees designated as policymakers and employees that serve in a position with an annual salary rate in excess of the job rate of SG24, prior approval is required from the ACCA if the amount to be earned is greater than \$1,000. Prior approval is also required from the State's ethics body if the amount to be earned is greater than \$4,000.

Employees designated as policymakers are barred from serving as an officer of any political party or organization or serving as a member of a political party committee, including district leader or member of a national committee.

## V. Nepotism

No employee may participate in any decision to hire, promote, discipline or discharge a relative for any compensated position at the ACCA.

## VI. Political Activity

ACCA offices may not be used for soliciting or collecting any political contributions.

No employee shall use their official position to coerce, intimidate or otherwise influence other employees to give money or service for any political purpose, to influence the political action of any person or entity, or to interfere with any election.

## VII. ACCA Property

Employees shall reasonably use all equipment, materials, supplies and other ACCA property for the conduct of ACCA business.

## VIII. Post-Employment Restrictions

Two-year bar – Former employees may not, within a period of two years after leaving the ACCA and State service, appear or practice before the ACCA or receive compensation for any services rendered in relation to any case, proceeding, application or other matter before the ACCA.

Lifetime bar – Former employees may not appear, practice, communicate or otherwise render services before any State agency, or receive compensation for such services in relation to any case, proceeding, application or transaction with which they were directly concerned and in which they personally participated while in public service.

## IX. Honoraria

Employees must comply with the State's ethics body's regulations pertaining to limitations on the receipt of honoraria from outside parties contained in 19 NYCRR Part 930. However, an Employee is prohibited from receiving an honorarium from any individual or organization that (i) does business with the ACCA, (ii) is regulated by the ACCA, (iii) receives funds from the ACCA, (iv) lobbies before the ACCA or (v) is involved with litigation adverse to the ACCA. Honorarium is any compensation (payment, fee, reimbursement or expenses covered for travel, lodging, transportation and meals) rendered by an employee that is not related to the employee's official duties with the ACCA.

## X. Procurement Lobbying

Employees shall record all contacts that are reasonably interpreted to be an attempt to influence a procurement of the ACCA where such employee is not the designated contact person.

## XI. Lobbying

Employees shall record all lobbying contacts. Lobbying is defined as an attempt to influence any adoption or rejection of any regulation or a ratemaking.

## XII. Penalties

Employees who violate certain provisions of this Code may be subject to civil penalties up to \$40,000, plus the value of any gift, compensation or benefit received pursuant to the Public Officers Law.