



**Thruway
Authority**

**GOVERNANCE COMMITTEE MEETING NO. 39
TUESDAY, MARCH 25, 2025
ALBANY, NEW YORK**



**Thruway
Authority**

GOVERNANCE COMMITTEE AGENDA

Meeting No. 39
March 25, 2025
Albany, New York

1. Approval of Minutes of Governance Committee Meeting No. 38
2. Review and Approval of Bylaws and Certain Authority Policies
3. Other Business
4. Adjournment

TO: The Governance Committee

DATE: March 25, 2025

FROM: Julie Miskinis
Board Secretary

SUBJECT: Approval of Minutes for Governance Committee Meeting No. 38

Copies of the Minutes of Governance Committee Meeting No. 38 were made available to the Committee Members as part of the agenda.

RECOMMENDATION

It is recommended that the Minutes of Governance Committee Meeting No. 38, held on September 24, 2024, be approved by the Committee.



MINUTES
GOVERNANCE COMMITTEE MEETING NO. 38
September 24, 2024

Meeting minutes of the New York State Thruway Authority Governance Committee was held in the Boardroom at 200 Southern Boulevard, Albany, New York, and via video conference.

The following Committee Members were present, constituting a quorum:

Heather Briccetti-Mulligan, Chair
Norman Jones, Committee Member
Paul Tokasz, Committee Member
Joanne M. Mahoney, (ex officio)

In addition, the following Board Members were present:

Robert Megna, Board Vice-Chair
Jose Holguin-Veras, Ph.D., Board Member
Joan McDonald, Board Member

Staff Present:

Nicole Leblond, Chief of Staff
Tom McIntyre, Deputy Executive Director of Operations & Special Projects
Dave Malone, Chief Financial Officer
Sandra Rivera, General Counsel
Brent Howard, Chief Engineer
Josh Klemm, Chief Information Officer
Selica Grant, Chief Administrative Officer
Andrew Trombley, Chief Procurement Officer
Diana Nebiolo, Chief Revenue Management Officer
Julie Greco, Board Secretary
Sean Lasher, Information Technology Specialist
William Hewitt, Information Technology Specialist
Jonathan Dougherty, Deputy Director of Media Relations
Kira Gruber, Excelsior Service Fellow

Also Present:

Jonathan Gibbs, BST & Co. CPAs, LLC.

Ms. Briccetti-Mulligan, Committee Chair, called the meeting of the Governance Committee to order at 1:14 p.m.

Ms. Greco recorded the minutes as contained herein (public notice of the meeting had been given).

Item 1

Approval of Minutes of the Governance Committee Meeting No. 37 (14:05)

Upon motion duly made and seconded, the Governance Committee approved the minutes of the previous meeting held on April 9, 2024. Copies of the meeting minutes were provided to the Committee Members and are maintained in Authority records.

Item 2

Approval of Revisions to the Thruway Authority's Bylaws (14:24)

General Counsel, Sandra Rivera, presented the necessary changes to the Authority's Bylaws which included title changes for certain Department heads from "Director" to "Chief". The department of Media and Government Relations was also added.

Copies of the revised Bylaws were provided to the Committee Members and are maintained in Authority records. Details of the presentation and Committee Member's discussion are included in the video recording of the meeting and maintained by the Authority.

Upon motion duly made and seconded, the Governance Committee approved the revised Bylaws and authorized its submission to the Authority Board for consideration.

Adjournment (15:57)

There being no other business to come before the Governance Committee, upon motion duly made and seconded, the meeting was adjourned at 1:16 p.m.

Note: Webcasts, which include dialogue of Thruway Authority's Governance Committee Meeting, are available on the Thruway Authority website 48 hours after such meetings occur and remain on the website for a period of four months. The meeting minutes have been time-stamped to indicate when each item is discussed on the webcast.

TO: The Governance Committee
FROM: Sandra Rivera
General Counsel

DATE: March 25, 2025

SUBJECT: Review and Approval of Certain Authority Policies


For review and approval by the Governance Committee are changes to certain Authority policies. The Governance Committee Charter requires the Governance Committee to review certain Authority policies. The Public Authorities Law requires some policies to be reviewed by the Board on an annual basis; whereas the Authorities Budget Office recommends other policies to be reviewed and evaluated on an annual basis.

Consistent with such, attached in Exhibit A for the review of the Governance Committee are: Real Property Management Policy, Personal Property Disposal Policy, Procurement Contracts Policy, Whistleblower Policy, Code of Ethics Governing Employees, and Code of Ethics Governing Board Members. Appropriate Authority staff have reviewed such. Changes include:

- Real Property Management Policy: Updating when Office of State Comptroller approval is required to be in accordance with Public Authorities Law and updating the names of titles in accordance with recent Bylaws changes.
- Procurement Contracts Policy: Updating the names of titles in accordance with recent Bylaws changes and updating the titles of relevant New York State agencies.
- Whistleblower Policy: Updating the names of relevant Authority offices that potential Wrongdoing may be reported to.

RECOMMENDATION

It is recommended that the Governance Committee approve these policies and authorize Authority staff to present them to the Board.

 GENERAL POLICY	SECTION TITLE	NUMBER 25-6-02
	POLICIES – MANAGEMENT OF PROPERTY	
<small>APPROVED</small> BOARD MEETING NUMBER: RESOLUTION NUMBER: DATE:	<small>SUBJECT</small> THRUWAY REAL PROPERTY MANAGEMENT POLICY	

I. INTRODUCTION

Pursuant to Article 2, Title 9 of the Public Authorities Law, the New York State Thruway Authority (Authority) is responsible for the financing, construction, reconstruction, improvement, development, maintenance and operation of the highway system known as the Thruway. In furtherance of such responsibilities, the Authority has the power to acquire and hold in the name of the State, by purchase or appropriation, real property, or rights or easements in such real property, and to sell, exchange or otherwise dispose of real property not necessary for its corporate purposes, or whenever the Board shall determine that it is in the interest of the Authority. The Authority also has the power to lease, or to grant Permits to occupy, real property not presently required for Thruway purposes but held for future use in carrying out its corporate purposes, upon such terms and conditions and uses as the Board shall determine.

The purpose of this Policy is to: detail the Authority’s operative policy and instructions regarding the use, awarding, monitoring and reporting of contracts for the disposal of real property, the acquisition of real property and the issuance of Permits associated with the Thruway; and authorize the development of Standard Operating Procedures (SOPs) for the purpose of implementing this Policy.

II. DEFINITIONS

A. Transactions

For purposes of this Policy, Transactions shall include, but not be limited to, Acquisitions, Disposals, the issuance of Permits, the obtaining of permits or licenses to access or use real property not under the jurisdiction of the Authority, and Transfers of Jurisdiction.

B. Disposals

Disposals shall include, but not be limited to, the sale of real property, the transfer of any beneficial interest in real property such as leases or easements, and the exchange of real property. Disposals shall not include the transfer of real property secured by a loan or other financial obligation of another party. Disposals shall not include Permits or Transfers of Jurisdiction.

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C. Acquisitions

Acquisitions are Transactions whereby the Authority (i) acquires and holds in the name of the State by purchase or appropriation, real property or rights or easements therein; and (ii) acquires leasehold interests that the Authority holds in its own name. Acquisitions shall not include the obtaining of permits or licenses to access or use real property not under the jurisdiction of the Authority.

D. Permits Issued by the Authority

Permits issued by the Authority grant revocable privileges to use or access real property under the jurisdiction of the Authority. Permits may be issued where the real property is not presently required for Thruway purposes, but held for future use in carrying out its corporate purposes. Permits do not transfer a beneficial interest in real property. Permits are revocable in part to assure availability upon demand of the real property for Authority purposes. Permits include Occupancy and Work Permits.

1. Occupancy Permit

An Occupancy Permit is a revocable at will instrument that authorizes the use of real property under the jurisdiction of the Authority.

2. Work Permit

A Work Permit is a revocable at will instrument that authorizes construction, maintenance, inspection, survey, or other type of work or ~~short term~~ short-term activity on real property under the jurisdiction of the Authority.

E. Permits or Licenses Obtained by the Authority

Permits or licenses obtained by the Authority are revocable instruments that allow the Authority to access or use real property that is not under the jurisdiction of the Authority ~~in order to~~ carry out its corporate purposes. Permits or licenses do not grant the Authority a beneficial interest in real property and are not considered leases, easements or other Acquisitions.

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F. Transfers of Jurisdiction

Transfers of Jurisdiction are Transactions between the Authority and other State governmental entities where jurisdiction over real property is transferred and reassigned on such terms and conditions as the Authority and the NYS Office of General Services deem proper, but the title to the real property remains in the name of the people of the State of New York.

III. GENERAL LEGAL REQUIREMENTS

All Transactions shall comply fully with applicable State, federal, and local laws, rules and regulations, including but not limited to: Article 2, Title 9 of the Public Authorities Law, Article 9, Title 5-A of the Public Authorities Law, the Lobbying Procurement Act, the requirements of the Authority's General Revenue Bond Resolution, and other applicable laws, rules, regulations, policies, procedures and executive orders.

IV. GENERAL PRINCIPLES

- A. The Authority shall maintain adequate inventory controls and accountability systems for all real property under its control.
- B. The Board shall approve all Transactions under the Authority's jurisdiction, except as otherwise delegated (see Section VII. Responsibilities and Authorizations).
- C. Transactions involving real property shall be consummated as promptly as possible. Unless otherwise provided by the Board, Board authorization for a Transaction shall be deemed expired one year following the date of such authorization unless the parties have executed a contract acceptable to the Authority for such Transaction within such one-year period. Expiration of Board authorization for a Transaction shall mean that the Transaction may no longer be consummated pursuant to such expired authorization absent further action of the Board. The Executive Director shall provide periodic reports to the Board regarding expired Transactions.
- D. The Authority may dispose of any real property not necessary for its corporate purposes or whenever the Board shall determine that such Disposal is in the interest of the Authority.

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- E. A Transaction must be resubmitted to the Board during the one-year period of authorization provided in IV.C. if any of the following circumstances occur and the Executive Director determines that the Transaction should be progressed:
1. If, in the Executive Director's determination, the circumstances change following Board action and, as a result, material Board approved terms and conditions cannot be followed.
 2. If, in the Executive Director's determination, the background information about the Transaction presented to the Board changes in any material way.
- F. Notwithstanding anything to the contrary contained in this Policy, if the Executive Director determines that it is in the best interests of the Authority to stop progression of a Board approved Transaction during the one-year period of authorization provided in Section IV.C., the Executive Director may cancel the Transaction. An information report will then be provided to the Board, at its next scheduled meeting, detailing the reasons that the Transaction was cancelled.
- G. 1. No asset owned, leased or otherwise in the control of the Authority may be sold, leased, or otherwise alienated for less than its fair market value except if:
- (a) the transferee is a government or other public entity, and the terms and conditions of the transfer require that the ownership and use of the asset will remain with the government or any other public entity;
 - (b) the purpose of the transfer is within the purpose, mission or governing statute of the Authority; or
 - (c) in the event the Authority seeks to transfer an asset for less than its fair market value to other than a governmental entity, which disposal would not be consistent with the Authority's mission, purpose or governing statute, the Authority shall provide written notification thereof to the governor, the speaker of the assembly, and the temporary president of the senate, and such proposed transfer shall be subject to denial by the governor, the senate, or the assembly. Denial by the governor shall take the form of a signed certification by the governor. Denial by either house of the legislature shall take the form of a resolution by such house. The governor and each house of the legislature shall take any such action within sixty days of receiving notification of such proposed transfer during the months of January through June, provided that if the legislature receives notification of a proposed transfer during the months of July through December, the legislature may

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take any such action within sixty days of January first of the following year. If no such resolution or certification is performed within sixty days of such notification of the proposed transfer to the governor, senate, and assembly, the Authority may effectuate such transfer.

2. In the event a below fair market value asset transfer is proposed, the following information must be provided to the Authority Board and the public:
 - (a) a full description of the asset;
 - (b) an appraisal of the fair market value of the asset and any other information establishing the fair market value sought by the Authority Board;
 - (c) a description of the purpose of the transfer, and a reasonable statement of the kind and amount of the benefit to the public resulting from the transfer, including but not limited to the kind, number, location, wages or salaries of jobs created or preserved as required by the transfer, the benefits, if any, to the communities in which the asset is situated as are required by the transfer;
 - (d) a statement of the value to be received compared to the fair market value;
 - (e) the names of any private parties participating in the transfer, and if different than the statement required by subparagraph (d) of this paragraph 2 of Section IV.G., a statement of the value to the private party; and
 - (f) the names of any other private parties who have made an offer for such asset, the value offered, and the purpose for which the asset was sought to be used.
3. Before approving the Disposal of any property for less than fair market value, the Authority Board shall consider the information described in paragraph 2 of this Section IV.G. and make a written determination that there is no reasonable alternative to the proposed below market transfer that would achieve the same purpose of such transfer.

- H. The Authority shall use a competitive process open to the public for all Disposals, except in limited circumstances. The Authority shall document the basis for progressing a Disposal without use of a public competitive process.

All Disposals or contracts for disposal of real property of the Authority shall be made after publicly advertising for bids except in limited circumstances where Disposals

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and contracts for disposal may be negotiated or made by public auction without public advertising for bids.

One of the following conditions must be met to dispose or contract for the disposal of real property through negotiation or public auction without public advertising for bids:

1. The fair market value of the real property does not exceed fifteen thousand dollars (\$15,000);
 2. Bid prices after advertising are not reasonable, either as to all or some part of the real property, or have not been independently arrived at in open competition;
 3. The Disposal will be to the State or any political subdivision, and the estimated fair market value of the real property and other satisfactory terms of disposal are obtained by negotiation;
 4. Under those circumstances permitted by Section IV.G. of this Policy; or
 5. The action is otherwise authorized by law.
- I. The Authority shall create a clear and comprehensive record for each Transaction that documents its compliance with this Policy. Such record shall be maintained in a manner and for a period consistent with the applicable document retention policy.

V. GENERAL PRACTICES

A. Transactional Analyses

Every proposed Transaction shall have a documented analysis conducted that will address all salient real property-related issues, and that will consider all applicable alternatives listed in Section V.B. below.

B. Types of Transactions and the Appropriate Use Thereof

1. Disposals

The Authority may receive direct inquiries for purchasing Thruway real property (e.g., easement, fee) or may determine on its own that Thruway real property is no longer needed for its corporate purposes or that disposition is in the best interest of the Authority.

The Authority may lease real property not presently required for Authority purposes but held for future use in carrying out its corporate purposes.

Disposals may be performed by the Commissioner of [NYS Office of General Services](#) on behalf of the Authority when the Authority has entered into an agreement with the Commissioner of [NYS Office of General Services](#) pursuant to Article 9, Title 5-A of the Public Authorities Law and all other applicable provisions of the Public Authorities Law.

2. Acquisitions

The Authority may acquire real property (e.g., fee, lease, easement) for a variety of purposes including, but not limited to, construction, improvement, and operation of the Thruway.

Real property may be acquired by purchase or by exercise of the power of eminent domain. When the need arises for the Authority to acquire real property via exercise of the power of eminent domain, the Authority shall take all steps to carry out the Acquisition in compliance with the Eminent Domain Procedure Law.

Acquisitions may be performed by the Commissioner of [NYS Office of General Services](#) on behalf of the Authority.

3. Permits Issued by the Authority

Permits may be issued where the real property is not presently required for Thruway purposes, but held for future use in carrying out its corporate purposes. Permits are revocable and used for Transactions where the real property needs to be available upon demand for Authority purposes. Unless otherwise authorized by the Executive Director or designee, where a Disposal is contemplated, an Occupancy or Work Permit will not be issued in advance of completion of the

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Disposal.

Occupancy Permits shall be issued and administered in accordance with the Authority's Occupancy and Work Permit Accommodation Guidelines, and in such a way as to ensure that the Authority is receiving the appropriate level of revenue in accordance with the established Fee Policy for Thruway Occupancy Permits. Unless otherwise authorized by the Executive Director or designee, where the issuance of an Occupancy Permit is contemplated, a Work Permit shall not be issued in advance of the issuance of the Occupancy Permit.

4. Permits or Licenses Issued to the Authority

Permits or licenses may be issued to the Authority in order to allow the Authority temporary access to and use of real property not under its jurisdiction for work related to the improvement, construction, reconstruction, maintenance and operation of the Thruway when an Acquisition is not appropriate.

5. Transfers of Jurisdiction

Transfers of Jurisdiction may be effectuated to provide other State entities with property that they need for their operational purposes or to allow the Authority to obtain real property from other State entities that the Authority needs for work related to the improvement, construction, reconstruction, maintenance and operation of the Thruway.

6. Transactions with Entities Providing Tourist Information

In accordance with Section 361-c of the Public Authorities Law, the Authority is required to provide tourist information services at all service areas where food is served. The Authority may authorize Transactions to provide such services. When the use of real property associated with the provision of these services generates revenue, consideration shall be required.

7. Amendments, Extensions, and/or Renewals of Existing Permits and Leases

Occupancy Permits shall be reviewed before the next annual payment date or as soon as practicable thereafter and, if necessary, revoked or redrafted to reflect this Policy and the requisite operational and/or administrative procedures.

Leases will be reviewed at the time of the next renewal and, if necessary, amended to reflect this Policy and the requisite operational and/or administrative procedures, consistent with the terms of the lease.

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C. Use of Appraisals

1. No Disposal or Acquisition of real property, or any interest in real property, shall be made unless an appraisal of the value of such property has been made by an independent appraiser and included in the record of the Transaction, except that when the Authority acquires a leasehold interest in property such that the Authority is the tenant, not the landlord, it shall be within the Authority's discretion whether or not to obtain an appraisal.
2. At least one appraisal shall be conducted by an independent appraiser for all Disposals and Acquisitions, other than leases of property where the Authority is the tenant and it is within the Authority's discretion as to whether to obtain an appraisal. For Acquisitions of leaseholds where the Authority is the tenant, it is within the Authority's discretion as to whether to obtain an appraisal.
3. An appraisal shall be conducted or coordinated by authorized Authority staff for all Permits for which an appraisal is necessary.
4. When the need arises for the Authority to acquire real property via exercise of the power of eminent domain, the Authority shall comply with all appraisal requirements in the Eminent Domain Procedure Law.

D. Advertising and Bidding for Disposals

When advertising for bids is required: (1) the advertisement shall be made at such time, through such methods, and on such terms and conditions as shall permit full and free competition consistent with the value and nature of the real property; (2) all bids shall be publicly disclosed at the time and place stated in the advertisement; and (3) the award shall be made with reasonable promptness by notice to the responsible bidder whose bid, conforming to the invitation for bids, will be most advantageous to the State and the Authority, price and other factors considered, provided, that any and all bids may be rejected when it is in the public interest to do so.

E. Documenting Disposals by Negotiation

At least 90 days before a Disposal is consummated, an explanatory statement for each Disposal by negotiation shall be prepared and distributed by the Contracting Officer in accordance with Article 9, Title 5-A of the Public Authorities Law detailing the circumstances of the Disposal, including but not limited to, the proposed price. The statement shall be prepared and distributed prior to bringing the Transaction to the

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Board for approval.

The following Disposals by negotiation require an explanatory statement:

1. Any real property that has an estimated fair market value in excess of one hundred thousand dollars (\$100,000), except that any real property disposed of by lease or exchange shall only be subject to clauses 2 and 3 below.
2. Any real property disposed of by lease, if the estimated annual rent over the term of the lease is in excess of fifteen thousand dollars (\$15,000).
3. Any real property or real and related personal property disposed of by exchange, regardless of value, or any property any part of the consideration for which is real property.

F. Review by the [NYS](#) Office of the State Comptroller (OSC)

~~The following Transactions awarded on a single-source basis, a sole-source basis or pursuant to any other method of procurement that is not a competitive procurement in excess of \$1,000,000 or that involves the exchange of real property in excess of \$1,000,000 shall be submitted to OSC for review and approval.~~

- ~~1. Disposals of real property or interests therein where the value exceeds twenty five thousand dollars (\$25,000).~~
- ~~2. Acquisitions of real property or interests therein where the total payment exceeds fifty thousand dollars (\$50,000).~~

G. Review of Environmental Impacts

In accordance with the State Environmental Quality Review Act (SEQRA) and the National Environmental Policy Act (NEPA), the Authority shall consider potential environmental impacts and permit requirements associated with any Transaction.

H. Review by Other Agencies

Transactions shall be coordinated with local, State and federal agencies as may be required by statute or regulation. Such agencies include, but are not limited to: Federal Highway Administration, U.S. Army Corps of Engineers, NYS Department of Transportation, NYS Office of General Services, NYS Department of Environmental Conservation and NYS Office of Parks, Recreation and Historic Preservation.

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I. Reports

The Authority will develop and distribute reports regarding real property management activities as required by law, including but not limited to, annual inventory reports, annual real property acquisition and disposition reports, and disposal by negotiation statements.

VI. PROCUREMENT OF REAL PROPERTY BY EMPLOYEES

Authority employees may not have any personal interest in, or engage in, any activity that would create or appear to create a conflict with the proper discharge of their public duties. It is important, even in the absence of any impropriety, that no appearance of impropriety is given. Therefore, pursuant to the Public Officers Law, all Authority employees, their spouses and any children and stepchildren under age 18 are prohibited from procuring Authority real property or otherwise securing such property through the use of an agent or other third party.

In addition, Authority employees, other than staff members identified in this Policy or the SOPs as having responsibilities related to the management of real property, shall not disclose to any non-employee any information that they obtain regarding such property due to the nature of their employment. Any disclosure by such authorized staff shall only be made in the course of the proper discharge of their official duties.

VII. RESPONSIBILITIES AND AUTHORIZATIONS

- A. The Board shall designate a Contracting Officer who is responsible for compliance with and enforcement of this Policy as it applies to all Transactions.
- B. The Executive Director is authorized to interpret, implement, and administer this Policy and shall develop SOPs necessary to carry out its intent. These SOPs should identify the roles and responsibilities of Authority personnel who implement and administer this Policy and define the manner in which those responsibilities are to be fulfilled.

The Executive Director is also authorized to oversee the actions of Authority staff to ensure compliance with applicable laws, rules and regulations, and with this Policy.

- C. The Chief Engineer is authorized to consummate Acquisitions and the Chief Financial Officer is authorized, upon the written request of the Chief Engineer, to consummate Disposals and Transfers of Jurisdiction that may be necessary to progress capital projects in accordance with the provisions of the annual Contracts


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Program approved by the Board. All such Transactions shall be progressed in accordance with the provisions of this Policy. In general, Board approval shall not be required for such Transactions, provided however, Board approval shall be required for all Disposals for less than fair market value.

- D. The Chief Financial Officer, consistent with Resolution No. 5911, is authorized to approve Disposals valued at fifteen thousand dollars (\$15,000) or less and to take all steps necessary to implement same, provided that fair market value is obtained in exchange for such Disposals and provided further, that all such Disposals shall comply with all applicable laws, this Policy and the SOPs adopted pursuant to this Policy.
- E. The Contracting Officer or designee is authorized to approve real property Occupancy Permits. The Contracting Officer, or the Contracting Officer's designee in consultation with the Contracting Officer, is authorized to interpret the SOPs and to resolve any questions among staff regarding the SOPs.
- F. The ~~Director of~~Chief Maintenance and Operations Officer or designee is authorized to approve real property Work Permits and to obtain permits or licenses to access or use real property not under the jurisdiction of the Authority for maintenance and operations purposes.

VIII. PENDING DISPOSALS AND ACQUISITIONS

All Disposals and Acquisitions approved by the Board prior to the effective date of this Policy that are still pending final execution shall be reevaluated by the Contracting Officer to ensure compliance with this Policy. If, upon reevaluation, the terms and conditions as authorized by the Board resolution do not comply with this revised Policy, the Contracting Officer must promptly prepare a report to the Executive Director and the Board detailing the reasons that the item(s) can or cannot be progressed. When an item cannot be progressed, the Contracting Officer, in consultation with the Executive Director, must seek further direction from the Board which may result in the item being amended, withdrawn or otherwise resolved.

 GENERAL POLICY	SECTION TITLE	NUMBER 25-6-01
	POLICIES – MANAGEMENT OF PROPERTY	
APPROVED BOARD MEETING NUMBER: RESOLUTION NUMBER: DATE:	SUBJECT THRUWAY PERSONAL PROPERTY DISPOSAL POLICY	

I. INTRODUCTION

Pursuant to Article 2, Title 9 of the Public Authorities Law, the New York State Thruway Authority (Authority) is responsible for the financing, construction, reconstruction, improvement, development, maintenance and operation of the highway system known as the Thruway. In furtherance of such responsibilities, the Authority may occasionally have Personal Property that requires disposal. Such Personal Property may include surplus Authority property, lost and found property, and abandoned tangible and intangible property of others.

The purpose of the Policy is to detail the Authority’s operative policy and instructions regarding the disposal of Personal Property.

II. DEFINITIONS

A. Transactions

For purposes of the Policy, Transactions shall include, but not be limited to, Disposals and the issuance of permits, licenses and other temporary use documents for the use of Personal Property.

B. Disposals

Disposals include the sale of Personal Property, the transfer of any beneficial interest in Personal Property such as leases, and the exchange of Personal Property. Disposals do not include the transfer of Personal Property secured by a loan or other financial obligation of another party. Disposals do not include permits, licenses or temporary use documents that are otherwise revocable due to operational requirements or in the best interests of the Authority. Consistent with prior Board action, permits do not convey or transfer a beneficial interest in the Personal Property. Statutory enactments in 2005 and 2009 govern the disposition of Personal Property in excess of \$5,000 in value.

C. Personal Property

Personal Property includes Tangible Personal Property and Intangible Personal Property.

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1. Tangible Personal Property is property possessing a physical form and includes Surplus Personal Property, property lost and found on Authority property, Personal Property purposely left behind on real property under the jurisdiction of the Authority, and Abandoned Motor Vehicles on Authority property.
2. Intangible Personal Property is property that may have no intrinsic and marketable value on its own, but is merely the representative or evidence of value and may include instruments payable, drawn or issued to a payee, a bearer or to cash and may include items such as unclaimed wages, bonds, checks and other instruments representing a right with respect to property, or a share, participation or other interest in property or in an enterprise.

D. Abandoned or Lost Personal Property

Abandoned or Lost Personal Property can be Tangible or Intangible Personal Property that remains unclaimed after notification to an owner, if known, and/or after being held for the required holding periods as prescribed by statute. This includes all lost or mislaid property found on Authority property/premises, as well as property which is knowingly abandoned.

E. Abandoned Motor Vehicles

An Abandoned Motor Vehicle is a type of Tangible Personal Property with special statutory and regulatory requirements for disposal and processing (see Section V.A.).

F. Surplus Personal Property

Surplus Personal Property is a type of Personal Property that includes equipment, materials, inventory and other Personal Property that have been determined to be no longer needed for corporate purposes or where disposition of such items is in the best interest of the Authority.

III. GENERAL LEGAL REQUIREMENTS

All Transactions shall comply fully with applicable State, Federal and local laws, rules and regulations as well as policies, procedures and executive orders including, but not limited to, the Abandoned Property Law, the Personal Property Law, the Public Authorities Law, the Vehicle and Traffic Law and any subsequently enacted statutes, rules and/or regulations.

IV. GENERAL PRINCIPLES

- A. The Authority shall maintain adequate inventory controls and accountability systems for all Personal Property under its control.
- B. The Authority may dispose of any Surplus Personal Property not necessary for its corporate purposes in whatever timeframe that either the Contracting Officer or the Board deems appropriate.
- C. The Authority may authorize the use of Authority Personal Property by an entity for any period or term using a temporary, revocable permit, license or other document that does not transfer a beneficial interest in the Personal Property. Such temporary, revocable use is not considered a Disposal for purposes of this Policy.
- D. Personal Property shall not be disposed of by the Authority for less than fair market value, except in limited circumstances as set forth in D.1. below. Fair market value may be determined through the use of appraisals, requests for proposals, the bid or auction process, or other means.
 1. No asset owned, leased or otherwise in the control of the Authority with a value in excess of \$5,000 may be sold, leased, or otherwise alienated for less than its fair market value except if:
 - (a) the transferee is a government or other public entity, and the terms and conditions of the transfer require that the ownership and use of the asset will remain with the government or any other public entity;
 - (b) the purpose of the transfer is within the purpose, mission or governing statute of the Authority; or
 - (c) in the event the Authority seeks to transfer an asset for less than its fair market value to other than a governmental entity, which disposal would not be consistent with the Authority's mission, purpose or governing statutes, the Authority shall provide written notification thereof to the governor, the speaker of the assembly, and the temporary president of the senate, and such proposed transfer shall be subject to denial by the governor, the senate, or the assembly. Denial by the governor shall take the form of a signed certification by the governor. Denial by either house of the legislature shall take the form of a resolution by such house. The governor and each house of the legislature shall take any such action within sixty days of receiving notification of such

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proposed transfer during the months of January through June, provided that if the legislature receives notification of a proposed transfer during the months of July through December, the legislature may take any such action within sixty days of January first of the following year. If no such resolution or certification is performed within sixty days of such notification of the proposed transfer to the governor, senate, and assembly, the Authority may effectuate such transfer.

2. In the event a below fair market value asset transfer is proposed, the following information must be provided to the Authority Board and the public:
 - (a) A full description of the asset;
 - (b) An appraisal of the fair market value of the asset and any other information establishing the fair market value sought by the Authority Board;
 - (c) A description of the purpose of the transfer, and a reasonable statement of the kind and amount of the benefit to the public resulting from the transfer, including, but not limited to the kind, number, location, wages or salaries of jobs created or preserved as required by the transfer, the benefits, if any, to the communities in which the asset is situated as are required by the transfer;
 - (d) A statement of the value to be received compared to the fair market value;
 - (e) The names of any private parties participating in the transfer, and if different than the statement required by subparagraph (d) of this paragraph, a statement of the value to the private party; and
 - (f) The names of any other private parties who have made an offer for such asset, the value offered, and the purpose for which the asset was sought to be used.
 3. Before approving the disposal of any property for less than fair market value, the Authority Board shall consider the information described in paragraph 2 of this section and make a written determination that there is no reasonable alternative to the proposed below market transfer that would achieve the same purpose of such transfer.
- E. The Authority must use a competitive process as required by the Public Authorities Law and related statutes, including public advertising for Disposals exceeding \$15,000 in value, except in limited circumstances. In order to dispose of Personal

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Property by negotiation or public auction without public advertising, one of the following must be met:

1. The Personal Property involved has qualities separate from the utilitarian purpose of such property, such as artistic quality, antiquity, historical significance, rarity, or other quality of similar effect, that would tend to increase its value, or if the Personal Property is to be sold in such quantity that, if it were disposed of by public advertising, would adversely affect the state or local market for such property, and the estimated fair market value of such property and other satisfactory terms of disposal can be obtained by negotiation;
 2. The fair market value of the property does not exceed \$15,000;
 3. Bid prices after advertising are not reasonable, either as to all or some part of the Personal Property, or have not been independently arrived at in open competition;
 4. The Disposal will be to the State or any political subdivision, and the estimated fair market value of the Personal Property and other satisfactory terms of disposal are obtained by negotiation;
 5. Under those circumstances permitted by Section IV.D. of this Policy; or
 6. The action is otherwise authorized by law.
- F. For Personal Property valued at over \$15,000 disposed of by negotiation, an explanatory statement is required. Not less than 90 days in advance of the Disposal, an explanatory statement shall be prepared and distributed by the Contracting Officer in accordance with Public Authorities Law §2897, detailing the circumstances of the Disposal including, but not limited to, the proposed price.
- G. The Authority shall create a clear and comprehensive record for each Transaction that documents its compliance with this Policy. Such record shall be maintained in a manner and for a period consistent with the applicable document retention policy.

V. GENERAL PRACTICES

A. Abandoned Motor Vehicles

The handling and disposal of Abandoned Motor Vehicles is statutorily covered under the Vehicle and Traffic Law and specifically promulgated under New York State Thruway Authority Rules and Regulations, and not under the Policy.

B. Lost, Found or Abandoned Tangible Personal Property

Lost, Found or Abandoned Tangible Personal Property with a value over the statutory limits must, within ten days after the finding or acquisition by Authority employees or the Authority's related agents (for example, contractor, employee of the Travel Plaza Food and/or Fuel/Gas Service Operators, or their subcontractors, etc.), be turned over to Troop T for processing and forwarding to the Bureau of Office and Building Maintenance Services (Office Services) at Headquarters in Albany. Office Services will return the property to the owner, if known; if the owner of the property is not immediately known, then the property must be held until the statutory holding period has run. At that time, if the property has not been claimed by the true owner or someone with verifiable ownership rights, then Office Services shall return the property to the known independent finder. If the original finder was an Authority employee or one of its related agents as defined above, ownership then vests in the Authority and may be treated as other Authority owned property.

C. Lost, Found or Abandoned Intangible Personal Property

1. Lost, Found or Abandoned Intangible Personal Property with a value over the statutory limits must, within ten days after the finding or acquisition by Authority employees or the Authority's related agents (for example, contractor, employee of the Travel Plaza Food and/or Fuel/Gas Service Operators, or their subcontractors, etc.), be turned over to Troop T for processing and forwarding to Office Services at Headquarters in Albany. Office Services will return the property to the owner if known; if the owner of the property is not immediately known, then the property must be held until the statutory holding period has run. At that time, if the property has not been claimed by the true owner or someone with verifiable ownership rights, then Office Services shall return the property to the known independent finder. If the original finder was an Authority employee or one of its related agents as defined above, the property vests in the Authority and may be redeemed or negotiated for payment to the Authority.
2. Abandoned Intangible Personal Property originally issued by the Authority such as unclaimed wages or benefits, or unclaimed consumer balances shall be held for the required holding times as prescribed by the Personal Property Law and Abandoned Property Law, at which time the property vests in the Authority.

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3. Other Intangible Personal Property such as unclaimed bonds, dividends, interest, securities, etc. owed to security holders shall be held for the required statutory holding periods by the Authority's properly delegated trustees or other fiduciaries.

D. Surplus Personal Property

The Office of Equipment and Inventory Management will provide the Director of Purchasing or designee with information on all items of Personal Property declared surplus requiring disposal.

VI. DISPOSAL PROCESS

The Director of Purchasing or designee will prepare a list of all Surplus and Abandoned Personal Property to be disposed of and prepare an internal estimate of the value of such property.

A. The method of disposal shall be based on the following Personal Property values:

1. Personal Property value at less than \$1,000 may be sold or donated, or when having an estimated resale value less than the cost of handling and sale may be disposed of as scrap or junk;
2. Personal Property valued at \$5,000 or less may be sold by a competitive process [sealed bid, public auction or electronic auction (e.g., Internet auction such as eBay)] or when approved by the Director of Purchasing, by negotiation or informal canvassing of selected purchasers;
3. Personal Property valued in excess of \$5,000 up to and including \$15,000 may be sold by a competitive process, or by negotiation when approved by the Contracting Officer or, where required, by the Board, such as in Section IV.D. (paragraphs 2 and 3);
4. Personal Property valued in excess of \$15,000 shall be offered for sale by a formal competitive process that includes public advertising unless one of the exceptions listed in Section IV.E. is met. If such an exception exists, disposal may be by negotiation or public auction without public advertising, when approved by the Contracting Officer or, where required, by the Board, such as in Section IV.D. (paragraphs 2 and 3).

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Note: For Personal Property valued in excess of \$15,000 disposed of by negotiation, an explanatory statement is required as described in Section IV.F.

- B. When public advertising is required for Disposals, the following steps must be taken pursuant to Public Authorities Law §2897:
1. The advertisement shall be made at such time, through such methods, and on such terms and conditions as shall permit full and free competition consistent with the value and nature of the Personal Property;
 2. All bids shall be publicly disclosed at the time and place stated in the advertisement; and
 3. The award shall be made with reasonable promptness by notice to the responsible bidder whose bid, in conformance with the solicitation, will be most advantageous to the Authority, price and other factors considered, provided that any and all bids may be rejected when it is in the best interest of the Authority to do so.
- C. When property is sold by sealed bid, by public auction or by an electronic auction, sale prices are approved by the Director of Purchasing or designee. If the Director of Purchasing or designee determines that property should be offered at an established or set price due to its unusual nature, or any other special conditions that would make competitive bidding impractical, the Director of Purchasing or designee will recommend an acceptable price and a method of sale to the Contracting Officer for approval.
- D. If the Director of Purchasing or designee determines that the best interests of the Authority are served by selling at public auction, the Director of Purchasing or designee shall supervise the auction and may reject any and all bids considered to be unacceptable.
- E. Where permitted by law, Disposals may be performed by the Commissioner of New York State Office of General Services on behalf of the Authority when the Authority has entered into an agreement with the Commissioner of New York State Office of General Services pursuant to Public Authorities Law and/or any other applicable statutes.

VII. REPORTS

The Authority will develop and distribute reports regarding Personal Property management activities as required by law including, but not limited to, an annual Personal Property disposition report.

VIII. PROCUREMENT OF SURPLUS PERSONAL PROPERTY BY EMPLOYEES

Authority employees may not have any personal interest in, or engage in, any activity that would create or appear to create a conflict with the proper discharge of their public duties. It is important, even in the absence of any impropriety, that no appearance of impropriety is given. Therefore, pursuant to the Public Officers Law, all Authority employees, their spouses and any children and stepchildren under age 18 are prohibited from procuring Authority Surplus Personal Property or otherwise securing such property through the use of an agent or other third party.


In addition, Authority employees, other than the Director of Purchasing or designee, shall not disclose to any non-employee any information that they obtain regarding such property due to the nature of their employment. Such disclosure by the Director of Purchasing or designee shall only be made in the course of the proper discharge of their official duties.

IX. RESPONSIBILITIES AND AUTHORIZATIONS

The Board shall designate a Contracting Officer who is responsible for compliance with and enforcement of the Policy as it applies to the disposal of Personal Property.

The Executive Director is authorized to interpret, implement, and administer this Policy and shall develop procedures necessary to carry out its intent, as well as to delegate such authority to members of their staff (see below). These procedures should identify the roles and responsibilities of Authority personnel who implement and administer this Policy and define the manner in which those responsibilities are to be fulfilled. The Executive Director is also authorized to oversee the actions of Authority staff to ensure compliance with applicable laws, rules and regulations, and with this Policy.

The Executive Director may delegate, expressly in writing, directly to the Contracting Officer, the authority to sign and execute any and all documents related to any form of property auction or other disposal methods and may also authorize the Contracting Officer to further delegate such authorization to other members of their staff in order to carry out the intent of this current Policy.

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Introduction

This Policy, established pursuant to Section 2879 of the New York State Public Authorities Law, sets forth the guidelines of the New York State Thruway Authority (Authority) regarding the Authority’s use, awarding, monitoring and reporting of Procurement Contracts. These guidelines are not intended and shall not be deemed to grant or confer any rights or remedies to or upon any third party.

Except as otherwise provided herein, all Authority Procurement Contracts are subject to this Policy. Attachment 1 sets forth a representative (but not exclusive) list of the types of goods purchased, and a description of those areas of responsibility and oversight requiring the use of services and the reasons for the use of services in such areas.

I. Definitions

- A. “Discretionary Purchase” is a procurement made below statutorily established monetary threshold amounts (e.g., not exceeding \$500,000 for the purchase of commodities and/or services from Small Business Concern or NYS-certified MWBE firms, and without a dollar cap for SDVOBE firms) and at the discretion of the Authority, without the need for a formal competitive bid process. For the purpose of determining whether a purchase is within the discretionary thresholds, the aggregate amount of all purchases of the same commodities and/or services to be made within the 12- month period commencing on the date of purchase shall be considered. A change to or a renewal of a discretionary purchase shall not be permitted if the change or renewal would bring the reasonably expected aggregate amount of all purchases of the same commodities and/or services from the same provider within the 12-month period commencing on the date of the first purchase to an amount greater than \$500,000, pursuant to State Finance Law Section 163.
- B. “Emergency” shall mean an unanticipated, sudden or unexpected event or escalation of an event beyond the control of the Authority which, if not immediately corrected, would endanger: a) the life, health, safety or welfare of any person, or b) the continued public use or function of a transportation or other facility or property of the Authority or the State of New York.
- C. “Foreign Business Enterprise” shall mean a business enterprise, including a sole proprietorship, partnership or corporation, which offers for sale, lease or other form of exchange, goods sought by the Authority and which are substantially produced outside New York State, or services sought by the Authority and which are substantially performed outside New York State. For purposes of construction services, a Foreign

Business Enterprise shall mean a business enterprise, including a sole proprietorship, partnership or corporation, which has its principal place of business outside New York State.

- D. “Goods” include equipment, material and supplies of any kind. Procurement Contracts that include both goods and services may be classified as “goods” where 60% or more of the total projected contract value will be for the purchase of equipment, material or supplies.
- E. “Minority Owned Business Enterprise” shall have the same meaning as that set forth in Public Authorities Law Section 2879.
- F. “New York State Business Enterprise” shall mean any business enterprise which offers for sale, lease or other form of exchange, goods or services sought by the Authority which are substantially manufactured, produced, assembled or performed within New York State.
- G. “New York State Resident” shall have the same meaning as that set forth in Public Authorities Law Section 2879.
- H. “Procurement Contract” shall mean any written agreement for the acquisition of goods or services of any kind, in the actual or estimated amount of fifteen thousand dollars (\$15,000) or more. Construction contracts and design-build contracts are included within the scope of the definition of a Procurement Contract pursuant to this Policy, but are not Procurement Contracts pursuant to Public Authorities Law Section 2879. A Procurement Contract does not include contracts valued under \$15,000, agreements for the settlement or compromise of any action, proceeding or claim by or against the Authority, certain financial, insurance and healthcare products that do not readily lend themselves to a competitive solicitation, contracts for the direct and indirect placement of advertisements with radio, television, print and electronic media, periodicals, subscriptions, reference materials or professional research tools, written materials, fees or tuition associated with continuing education courses, training courses, conferences, seminars and symposiums, funding agreements, co-funding agreements, grants or memberships in various industry groups, professional societies or similar cooperative associations, or any cooperative projects and procurement activities conducted or sponsored by such organizations in which the Authority participates.
- I. “Professional Firm” shall mean any individual or sole proprietorship, partnership, corporation, association or other legal entity permitted by law to practice the professions of architecture, engineering or surveying.

- J. “Services” shall mean services of a consulting, professional or technical nature provided by outside consultants/contractors (individuals, partnerships or firms who are not and do not employ officers or employees of the Authority) for a fee or other compensation.
- K. “Service Disabled Veteran Owned Business Enterprise” shall have the same meaning as that set forth in Article 17-B of the Executive Law Section 369-H.
- L. “Small Business Concern” is a business that is resident in New York State, is independently owned and operated, not dominant in its field and employs not more than 100 people.
- M. “Women Owned Business Enterprise” shall have the same meaning as that set forth in Public Authorities Law Section 2879.

II. Selection of Contractors for Goods

Except as otherwise provided in this Policy, the Authority shall award Procurement Contracts for goods to the lowest responsible bidder as will best promote the Authority’s interests, taking into consideration: the reliability of the contractor; the quality of the goods to be furnished; the goods’ conformity with the specifications; the terms of delivery; and/or such other criteria as the Authority determines appropriate. The Authority shall solicit bidders for applicable contracts pursuant to Article 4-C of the New York State Economic Development Law (e.g., advertise in the Contract Reporter). The Authority shall solicit price quotes from at least three (3) sources, if available.

III. Selection of Contractors for Services

- A. The Authority may contract for services when, because of one or more of the following factors or considerations, it is more beneficial for such services to be contracted for than performed by employees of the Authority:
 - 1. lack of or unavailability of sufficient staff, facilities, equipment or other resources;
 - 2. requirement of special expertise or abilities not adequately possessed by Authority employees;
 - 3. timing;
 - 4. short term or infrequent need for the service; or
 - 5. distance of the location(s) where the services must be performed from Authority offices or facilities.

- B. Except as otherwise provided in this Policy, the Authority shall award Procurement Contracts for professional services, except those to Professional Firms, to a responsive and responsible contractor on the basis of best value, taking into account: the contractor’s experience and capability to perform the required services, the adequacy of contractor’s staff to be assigned to Authority work, the overall quality and responsiveness of the contractor’s proposal, the contractor’s fee structure and overall price; and/or such other criteria as the Authority determined appropriate. Procurement Contracts for construction and design-build services shall be awarded in compliance with all applicable laws. The Authority shall solicit proposals for applicable contracts pursuant to Article 4-C of the New York State Economic Development Law (e.g., advertise in the Contractor Reporter). The Authority shall solicit price quotes from at least three (3) sources, if available.
- C. The Authority shall award Procurement Contracts for the services of Professional Firms on the basis of demonstrated competence and qualification for the type of professional services required and at fair and reasonable fees. The Authority shall not refuse to negotiate with a Professional Firm solely because the ratio of the “allowable indirect costs” to direct labor costs of the Professional Firm or the hourly labor rate in any labor category of the Professional Firm exceeds a limitation generally set by the Authority in the determination of the reasonableness of the estimated cost of services to be rendered by the Professional Firm, but rather the Authority should also consider the reasonableness of cost based on the total estimated cost of the service of the Professional Firm which should include, among other things, all the direct labor costs of the Professional Firm for such services plus all “allowable indirect costs,” other direct costs and negotiated profit of the Professional Firm. “Allowable indirect costs” of a Professional Firm are defined as those costs generally associated with overhead which cannot be specifically identified with a single project or contract and are considered reasonable and allowable under specific state contract or allowability limits.
- D. The ~~Director of Chief~~ Procurement ~~Officer~~Services may, in consultation with the appropriate Authority program managers, designate those services other than the services of Professional Firms for which cost will be the only criterion for determining best value.

IV. Waiver of Competition

The Authority Board may waive the use of the competitive procedure for Procurement Contracts provided in this Policy based upon one or more of the following findings:

- A. There is a need to respond to an Emergency.
- B. A condition exists that makes it impractical or not in the Authority’s best interest to seek competition due to the specialized nature of the goods or services required.

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- C. There is a historical relationship, the continuation of which is in the best interests of the Authority.
- D. There is a need for confidentiality.
- E. The proposed project requires specialized knowledge of, or proximity to, the Authority.
- F. There is a requirement for which, in the sole opinion of the Authority, there is a lack of responsible competition to perform the desired services.
- G. There is a specific contractor selection that is necessary or convenient to the operations of the Authority.

V. General Procurement Requirements

- A. The Authority shall ensure that its Procurement Contracts in an amount equal to or in excess of fifty thousand dollars (\$50,000) comply with the public notification requirements of Article 4-C of the New York State Economic Development Law.
- B. The Authority shall not enter into a Procurement Contract with any current or former officer or employee of the Authority where such contract would be in contravention of law or would create a conflict of interest.
- C. Pursuant to Public Authorities Law Section 2879-a, the Office of the New York State Comptroller (OSC) Regulations and the State Authority Contract Manual, the Authority may be required to submit certain contracts to ~~the New York State Comptroller~~OSC for approval that are awarded on a Sole Source, Single Source or other non-competitive basis for the purchase of goods and/or services in an amount in excess of \$1 million, and shall notify the successful bidder therefor. Such contracts or contract amendments shall not be valid and enforceable unless approved by ~~the Comptroller~~OSC or until 90 days have elapsed from such submission without action by ~~the Comptroller~~OSC, as further set forth in the referenced law and regulations.
- D. The Executive Director must approve all contractor selections for Procurement Contracts for services based upon the recommendation of either the Non-Engineering Personal Services Committee or the Engineering Selection Committee.
- E. The Authority may utilize the Procurement Contracts of other Federal, State or local entities to purchase goods or services provided it would be in the Authority's best interests to do so.
- F. The Authority shall comply with State Finance Law Sections 139-j and 139-k that place restrictions on attempts to influence during the procurement process, require the recording of attempts to influence made during the restricted period for a procurement,

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and outline the responsibilities of offerors relative to the procurement process.

- G. The Authority will perform an affirmative review of a contractor’s responsibility, in accordance with applicable laws, rules, regulations and guidelines, prior to the award of a Procurement Contract. This review shall be designed to provide reasonable assurance that a proposed or current contractor is responsible and should consider such issues as: integrity; performance on other governmental contracts; legal ability to supply the product or perform the services; and financial and organizational capability.
- H. The Authority will create a record for each Procurement Contract that documents its compliance with this Policy.

VI. Participation of Minority and/or Women-Owned Business Enterprises (MWBEs)

It is the policy of the Authority to comply with the provisions of Article 15-A of the New York State Executive Law, which requires that every Procurement Contract over \$15,000 will afford equality of economic opportunities for minority group members and women and the facilitation of participation by MWBEs. The Authority shall establish separate goals for participation of MWBEs on all Authority contracts where applicable. Furthermore, if the performance of any Procurement Contracts permits or requires the use of a subcontractor, these contracts shall require the prime contractor to act affirmatively to encourage participation by MWBEs in such subcontract and to report the nature and extent of such efforts to the Authority. Authority staff will also review the Directory of MWBEs prior to making discretionary purchases and choose MWBEs when feasible.

All Procurement Contracts, where required, shall comply with Executive Law Article 15-A and the Public Authorities Law, and rules and regulations promulgated thereunder.

- A. In furtherance of the above, and to promote the use of certified MWBEs in Procurement Contracts, the Authority shall:
 - 1. Designate appropriate staff to oversee the Authority’s programs established to promote and assist: (i) participation by certified MWBEs in the Authority’s procurement opportunities and facilitation of the award of Procurement Contracts to such enterprises; (ii) the utilization of certified MWBEs as subcontractors and suppliers by entities having Procurement Contracts with the Authority; and (iii) the utilization of partnerships, joint ventures or other similar arrangements between certified MWBEs and other entities having Procurement Contracts with the Authority. Such staff will be familiar with the procurement process utilized by the Authority, report directly to the Executive Director and either directly or through their designees participate in the procurement process.

2. Establish appropriate goals for participation of MWBEs in Procurement Contracts and for the utilization of MWBEs as subcontractors and suppliers.
3. Provide notice of any procurement to appropriate professional organizations that serve MWBEs so that members of these organizations are apprised of potential opportunities to contract with the Authority.
4. Include language regarding equal employment opportunity and non-discrimination in all Procurement Contracts and/or all documents soliciting bids or proposals for Procurement Contracts, and require the contractor to include this language in all subcontracts.
5. Include a provision in the Authority’s Procurement Contracts expressly providing that any contractor who willfully and intentionally fails to comply with the MWBE participation requirements as set forth in the contract shall be liable to the Authority for liquidated or other appropriate damages as may be determined by the Authority.
6. Maintain lists of qualified certified MWBEs that have expressed an interest in doing business with the Authority and ensure such entities receive direct notice of any impending procurements. The Authority shall also consult the lists of certified MWBEs maintained by the ~~Department of Economic Development~~Empire State Development (ESD).
7. List applicable goals for participation of certified MWBEs in Procurement Contracts in all solicitations and for the utilization of MWBEs as subcontractors and suppliers by entities having Procurement Contracts with the Authority.
8. Conduct procurements in a manner that will enable the Authority to achieve the maximum feasible portion of the goals established and eliminate barriers to participation of MWBEs on Procurement Contracts. The Authority shall include, without limitation:
 - a. the expected degree of MWBE participation;
 - b. provisions relating to joint ventures, under which a bidder may count toward meeting its MWBE participation goal;
 - c. provisions under which the Authority may waive obligations of the contractor relating to MWBE participation after a showing of good faith efforts to comply with the requirements of this Policy and all applicable laws pursuant to the waiver provisions contained in Executive Law Article 15-A; and

- d. verification that MWBEs listed in a successful bid are actually participating to the extent listed on the project for which the bid was submitted.

B. In implementing the provisions of this Section VI, the Authority shall:

1. Consider, where practicable, the severability of construction projects and other bundled projects;
2. Implement a program that will enable it to evaluate each Procurement Contract to determine the appropriateness of the established goal;
3. Consider compliance with the requirements of any federal law concerning opportunities for MWBEs which effectuates the purpose of this section; and
4. Consult the most recent disparity study pursuant to Article 15-A of the Executive Law.

VII. Participation of Service-Disabled Veteran-Owned Business Enterprises (SDVOBEs)

It is the policy of the Authority to comply with the provisions of Article 17-B of the New York State Executive Law, which requires that every Procurement Contract over \$15,000 will afford equality of economic opportunities to certified SDVOBEs thereby further integrating such businesses into New York State's economy. The Authority will make a good faith effort to achieve SDVOBE participation to the extent such firms are available, and will use its best effort so that SDVOBE firms are included in Procurement Contracts. All Procurement Contracts, where required, shall comply with Executive Law Article 17-B. The Executive Director shall appoint one or more senior staff to oversee the Authority's SDVOBE program.

Before the Authority issues bid documents, or during the Authority's bid development phase, the Authority's procurement staff will consult the Directory of SDVOBEs posted on the [New York State Office of General Services'](#) website to determine whether the solicitation may be considered for a SDVOBE goal.

Authority staff will also review the Directory of SDVOBEs prior to making discretionary purchases and choose SDVOBEs when feasible.

All procurements subject to Executive Law Article 17-B will contain standard language in solicitations and Procurement Contracts regarding participation of SDVOBEs on State contracts.

VIII. Promotion of New York State Business Enterprises and New York State Residents in Procurement Contracts

The Authority shall promote and solicit the participation by New York State Business Enterprises and New York State Residents in Procurement Contracts in compliance with Public Authorities Law Section 2879 and shall develop procedures consistent with such.

IX. Requirements Regarding Foreign Business Enterprises and Discriminatory Jurisdictions

The Authority will follow the requirements and procedures of Public Authorities Law Section 2879(5) with respect to Procurement Contracts with Foreign Business Enterprises. Accordingly, the Authority shall notify the ~~Department of Economic Development~~ **ESD** of the award of a Procurement Contract for the purchase of goods or services from a Foreign Business Enterprise in an amount greater than or equal to one million dollars simultaneously with notifying the successful bidder. The Authority will not enter into any such Procurement Contract until at least 15 days have elapsed from notice to the ~~Department of Economic Development~~ **ESD**, except where the Procurement Contract was awarded on an emergency or critical basis or where the Commissioner of ~~Economic Development~~ **ESD** waives the notice requirement.

In addition, pursuant to Public Authorities Law Section 2879(5), the Authority will impose restrictions on Foreign Business Enterprises located in Discriminatory Jurisdictions with respect to the solicitation and award of Procurement Contracts.

X. Procurement Contract Provisions

To the extent deemed appropriate by the Executive Director and the General Counsel, Procurement Contracts may include, but should not necessarily be limited to, the following provisions:

- A. Scope of Services
- B. Compensation and Allowable Expenses
- C. Payment Methodology
- D. Term or Time for Performance
- E. Personnel, Equipment and Supplies
- F. Standards of Performance
- G. Independent Contractor
- H. Subcontracting
- I. Insurance and Bond Requirements
- J. Liability and Indemnification
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- L. Confidentiality and Non-Disclosure
- M. Lobbying Law Certification
- N. Public Announcements

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- Q. Damages for Delay
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- Y. Non-Collusive Bidding Certification
- Z. International Boycott Prohibition
- AA. Set-Off Rights
- AB. Records
- AC. Identifying Information and Privacy Notification
- AD. Equal Employment Opportunities for Minorities and Women
- AE. Conflicting Terms
- AF. Governing Law
- AG. Late Payment
- AH. No Arbitration
- AI. Service of Process
- AJ. Prohibition on Purchase of Tropical Hardwoods
- AK. MacBride Fair Employment Principles
- AL. Omnibus Procurement Act of 1992
- AM. Reciprocity and Sanctions Provisions
- AN. Purchases of Apparel
- AO. Observance of Laws
- AP. No Waiver of Provisions
- AQ. Entire Agreement
- AR. Iranian Energy Sector Divestment
- AS. Promotion of New York State Business Enterprises and New York State Residents in Procurements
- AT. Contractor Requirements and Procedures for Business Participation Opportunities for New York State Certified MWBEs
- AU. Participation Opportunities for New York State Certified SDVOBEs
- AV. Ensuring Pay Equity (Executive Order No. 162)
- AW. Prohibiting Contracts with Entities that Support Discrimination (Executive Order No. 177)
- AX. Ownership of Materials
- AY. Compliance with New York State Information Security Breach and Notification Act
- AZ. Net Neutrality Principles (Executive Order No. 175)

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XI. Delegations

The Authority Board must approve all Procurement Contracts unless such approval has been otherwise delegated in this Policy.

- A. The Executive Director or the Executive Director’s designee is authorized to:
1. Execute any Procurement Contract, including any amendments thereto, for expenditures in an amount not to exceed five hundred thousand dollars (\$500,000) provided that a Procurement Contract for professional services with a term in excess of one year shall require the Board’s review and approval within one year of execution of the Procurement Contract. For a Procurement Contract for professional services with a term in excess of one year that must be awarded prior to the next Board meeting, the initial contract will be issued for the entire intended term of the contract. Based on its total term and value, such contract must be approved in writing by the Executive Director and such contract is subject to the Board’s approval at the next Board meeting. If such approval is not granted, the contract will be terminated or amended immediately.
 2. Approve an increased expenditure by the Authority not to exceed five hundred thousand dollars (\$500,000) for any Procurement Contract previously approved by the Authority Board.
 3. Approve or extend Procurement Contracts for a period in excess of one year provided such contract or extension does not exceed five hundred thousand dollars (\$500,000); provided that Procurement Contracts for professional services may not be extended for a period in excess of one year without approval of the Board.
 4. Waive the use of a competitive procedure for any Procurement Contract needed to respond to an Emergency in accordance with the procedure set forth in the Authority Procedure for Declared Emergency Work, the Board resolution authorizing the Authority’s Contracts Program, and/or pursuant to an Executive Order of the Governor.
 5. Waive the use of a competitive procedure for any Procurement Contract in an amount not to exceed five hundred thousand dollars (\$500,000) when the Executive Director or the Executive Director’s designee finds one or more of the conditions set forth in Article IV. B. ~~–H~~through G. of this Policy to be present.
 6. Interpret, implement and administer this Policy, including the development of

operational and/or administrative policies, guidance and procedures necessary to carry out its intent. These operational and/or administrative policies should, at a minimum, identify the roles and responsibilities of Authority personnel implementing and administering this Policy and the manner in which those responsibilities are to be fulfilled.

7. Appoint a Procurement Integrity Officer whose responsibilities shall include the establishment of processes to prevent or detect improper lobbying influence, to provide guidance to program managers regarding vendor responsibility determinations, to administer the Contract Review and Vendor Responsibility Committee, and to ensure the Authority is in compliance with applicable executive orders, laws, rules and regulations regarding procurement integrity and vendor responsibility.

- B. The ~~Director of Chief~~ Procurement ~~Services Officer~~ or the ~~Director of Chief~~ Procurement ~~Services Officer~~'s- designee is authorized to execute Procurement Contracts for goods provided the process used to procure such goods is in accordance with Authority procedures, and the contractor was selected based on a solicitation for bids. The ~~Director of Chief~~ Procurement ~~Services Officer~~ may, without a formal competitive process, execute any Procurement Contract for the purchase of goods or services from a Small Business Concern, certified MWBE, or from a certified SDVOBE, or for goods or technology that are recycled or remanufactured, in an amount not to exceed five hundred thousand dollars (\$500,000).
- C. Procurement Contracts involving the Authority's Contracts Program shall be awarded, amended/supplemented and managed by the Chief Engineer, Executive Director and Chief Financial Officer pursuant to the Board resolutions authorizing the Authority's Contracts Program.

XII. Review and Reporting Requirements

- A. In accordance with Public Authorities Law Section 2879, the Authority Board shall annually review and approve this Policy.
- B. Information related to Procurement Contracts involving the Contract Program shall be included in the submittal to the Board seeking authorization for the Contracts Program for the Board's review and approval.
- C. The Executive Director or designee shall report to the Board quarterly on all Procurement Contracts or amendments thereto that ~~he or she has~~they have executed pursuant to Article XI. A. of this Policy.

D. Following each fiscal year, the Authority Board shall approve an annual report on Procurement Contracts as required by subdivision 7 of Section 2879 of the Public Authorities Law. Such annual report will include: (i) this Policy and any amendments hereto; (ii) an explanation of this Policy and any amendments hereof; (iii) a list of the year's Procurement Contracts and their status and selection process; (iv) a list of the aforesaid contracts entered into with New York State Business Enterprises (as defined in Public Authorities Law, Section 2879(3)(i)), and the subject matter and value thereof; (v) a list of the aforesaid contracts entered into with Foreign Business Enterprises and the subject matter and value thereof; (vi) a list of contracts entered into with certified MWBEs and value thereof; (vii) all referrals made and all penalties imposed pursuant to Executive Law Section 316; and (viii) a list of Procurement Contracts exempted from reporting in the Contract Reporter and the basis for each exemption. The annual report on Procurement Contracts, after being approved by the Board, shall be submitted to the Division of the Budget with copies to the Department of Audit and Control, the Department of Economic Development (ESD), the Senate Finance Committee and the Assembly Ways and Means Committee.

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XIII. Miscellaneous Provisions

- A. The Authority's failure to comply with the provisions of this Policy shall not alter, modify the terms of, affect the validity of, or impair any of the Authority's rights or privileges under any Procurement Contract to which the Authority is a party, nor shall it provide any rights or privileges to an entity seeking a Procurement Contract with the Authority.
- B. The Authority may allow other Federal, State or local entities to purchase goods or services through an Authority Procurement Contract provided it would be in the Authority's best interests to do so and such procurement is acceptable to the contractor.

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ATTACHMENT 1

A. Types of Goods Purchased

The following is an illustrative (but not exclusive) list of the types of goods the Authority has purchased in the past and may purchase in the future:

- Office equipment, furniture and supplies such as fax machines, copiers, audio/video equipment, copier toner and paper;
- Computer equipment and supplies such as mainframe components and related equipment, personal computers, software, and peripheral equipment, accessories and supplies;
- Heavy construction equipment such as bulldozers, wheel loaders, crawler loaders, excavators and pavers;
- Marine fleet vessels and related equipment such as barges, tugs and marine generators;
- Motorized automotive truck fleet and related equipment such as diesel and gas trucks of all sizes, plow trucks, plow attachments, material spreaders, aerial lift trucks and tow trucks;
- Prefabricated buildings, building equipment such as furnaces, boilers, and air conditioners, and building maintenance equipment and supplies;
- Uniforms for employees;
- Road maintenance materials such as salt, ice control abrasives and de-icing solutions;
- Highway construction materials such as asphaltic materials, sand, stone, gravel and ready-mix concrete;
- Property maintenance equipment and supplies such as mowers, tractors and associated equipment;
- Telecommunication systems utilizing conventional and fiber optic technologies including cell phones, pagers, telephone switching equipment, radios, radio towers, equipment and accessories;
- Intelligent transportation systems equipment supporting E-ZPass® and automatic vehicle identification (AVI);

- Sign fabrication materials, equipment and supplies including aluminum sheets and sign blanks, reflective sheeting and sign making machines;
- Building security systems, fire alarms and suppression systems, and card access and badging systems.


B. Types of Services Purchased

The Authority purchases services for a variety of reasons including, but not limited to, the need to: augment in-house staff; provide expertise in specialized areas; provide independent review; serve as a liaison with certain entities; and handle specialized matters expeditiously. The following is an illustrative (but not exclusive) list of the types of services the Authority has purchased in the past or may purchase in the future:

- Legal
Provide legal services to the Authority in the areas of bond and note financing, environmental review compliance, litigation, real property matters, labor issues, intellectual property, technology and computer law, insurance law and government relations.
- Construction
Construction, reconstruction, repair, rehabilitation, and improvement of highway, bridges and other facilities under the jurisdiction of the Authority.
- Expert Witness
Provide the Authority with expert analysis of issues raised in litigation and serve as expert witness at trial as needed. Such issues may include, but shall not be limited to: medical assessment of personal injuries, economic analysis of potential lost earnings and accident reconstruction.
- Audit and Accounting
Provide audit services pertaining to the year-end preparation of financial statements for the Authority in conformance with generally accepted accounting principles. Perform special audits and provide financial advisory services as requested.
- Building Maintenance and Security
Provide building maintenance services such as janitorial, HVAC, rubbish removal, electrical preventive maintenance, elevator inspection and maintenance, and security, including guards.
- Investment Banking
Competitive sales: Purchase and distribute Authority debt issuances. Negotiated sales: Provide assistance in the preparation, sale, marketing and distribution of Authority debt issuances.

- Environmental
Provide environmental services such as hazardous waste removal and disposal, asbestos removal, air quality testing and weather forecasting.
- Financial/Transportation/Counting
Provide courier and money counting services from toll facilities to banking facilities and Dun and Bradstreet financial reporting.
- Trustee Banking Services
Provide banking services to monitor the timely receipt of debt service payments, compliance and reserve requirements, retirement of debt, collateral evaluations and other services as required by the various debt resolutions.
- Communications
Provide radio and intercom installation, highway advisory radio installation and radio tower installation.
- Engineering
Provide engineering services for Authority owned or operated facilities, including but not limited to, design and construction inspection engineering services.
- Architectural
Provide architectural services for Authority owned or operated facilities.
- Surveying
Provide surveys of Authority owned properties to establish boundaries, utility locations, etc.
- Real Property Advisory Services
Assist the Authority with evaluations of Authority property including the value and potential uses thereof.
- Computer Programming Services
Assist the Authority with the design, implementation and operation of computer programs that will enable the Authority to function more efficiently.
- Health
Provide health care services such as medical testing, nursing and prescription eyeglass services.
- Equipment Maintenance
Provide routine service and repair of office, data processing, bridge, building, highway maintenance and motorized equipment.

- Risk Management Consulting
Provide risk management services to assist the Authority with its insurance program.
- Training
Provide supervisory and special skills to Authority employees.
- Printing
Provide financial printing services based upon specifications and detail developed by the Authority. Provide various technical printing services relative to the reproduction of forms and other printed matter. Provide technical, graphic, layout and printing services in connection with production of the Authority’s annual report and any other reports, brochures, maps or printed matter that may be necessary or desirable.

 GENERAL POLICY	SECTION TITLE	NUMBER 25-2-26
	POLICIES -- PERSONNEL	
APPROVED BOARD MEETING NUMBER: 762 RESOLUTION NUMBER: 6495 DATE: April 9, 2024	SUBJECT WHISTLEBLOWER POLICY	

I. INTRODUCTION

It is the policy of the New York State Thruway Authority (Authority) to afford certain protections to individuals who in good faith report violations of the Authority’s CODE OF ETHICS (25-2-07) or other instances of Wrongdoing within the Authority. This Policy is intended to encourage and enable Authority employees to raise concerns of potential Wrongdoing in good faith within the Authority and without fear of retaliation or adverse Personnel Action. Employees covered by this Policy include all Board Members, and officers and staff employed at the Authority whether full-time, part-time, temporary, on probation and/or employed pursuant to contract.

This Policy establishes the protection for Whistleblowers and the procedures for reporting potential Wrongdoing within the Authority.

II. DEFINITIONS

For purposes of this Policy, the following definitions shall apply:

- A. “Personnel Action” - Any action affecting compensation, appointment, promotion, transfer, assignment, reassignment, reinstatement or evaluation of performance.
- B. “Whistleblower” - Any employee who in good faith discloses information concerning Wrongdoing by an Authority employee, consultant or contractor.
- C. “Wrongdoing” - Any alleged corruption, fraud, criminal or unethical activity, misconduct, waste, conflict of interest, intentional reporting of false or misleading information, or abuse of authority that relates to the Authority.

III. REPORTING WRONGDOING

All employees who discover or have knowledge of potential Wrongdoing concerning employees of the Authority; a person having business dealings with the Authority; or the Authority itself, shall report such activity in accordance with the following procedures.

SECTION: POLICIES – PERSONNEL



SUBJECT: WHISTLEBLOWER POLICY

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A. All employees who discover or have knowledge of potential Wrongdoing shall promptly disclose information concerning such Wrongdoing in a written or oral report to their immediate supervisor, intermediate supervisor, Administrative Officer, Department Head, Bureau of [Workplace Advice & Labor Employee Relations](#), Bureau of Employee Safety & Health, the Chief of Staff, the General Counsel, the Executive Director, the Chair, or, as outlined below, the [Office Bureau of Equal Accessibility Employment Equity, Diversity Opportunity and Diversity Employee Development Engagement](#) or the Department of Audit and Management Services:

- [Office Bureau of Equal Accessibility, Employment Equity, Opportunity Diversity and Diversity Employee Development Engagement](#) for Wrongdoing involving discrimination based on protected class status.
- Department of Audit and Management Services for Wrongdoing involving waste, fraud or abuse.

Written disclosures are preferred where appropriate.

- B. The individual(s) to whom the potential Wrongdoing is reported shall (1) review the information in a timely and reasonable manner; and (2) if such review indicates the reasonable possibility that there has been an occurrence of Wrongdoing, take appropriate corrective action and where appropriate, refer such information to the appropriate Authority office, New York State Office of the Inspector General, Commission on Ethics and Lobbying in Government, Authorities Budget Office or an appropriate law enforcement agency. All employees are responsible for cooperating in the investigation of potential Wrongdoing by providing any information they possess concerning the matters being investigated and being candid about such matters.
- C. The identity of the Whistleblower and the substance of ~~his or her~~[their](#) allegations will be kept confidential to the best extent possible. Should an employee believe in good faith that disclosing information within the Authority pursuant to Section III.A. would likely subject ~~him or her~~[them](#) to adverse Personnel Action or be wholly ineffective, the employee may instead disclose the information to the New York State Office of the Inspector General, New York State Division of Human Rights, U.S. Equal Employment Opportunity Commission, Commission on Ethics and Lobbying in Government, Authorities Budget Office or an appropriate law enforcement agency, if applicable. The Authorities Budget Office's toll-free number (1-800-560-1770) should be used in such circumstances.

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IV. NO RETALIATION OR INTERFERENCE

No employee shall retaliate against any Whistleblower for the good faith disclosure of potential Wrongdoing, whether through adverse Personnel Action, harassment, threats, coercion, or abuse of authority; and, no employee shall interfere with the right of any other employee by any improper means aimed at deterring disclosure of potential Wrongdoing. Any attempts at retaliation or interference are strictly prohibited. Any Whistleblower who believes that he or she has been retaliated against for reporting or disclosing potential Wrongdoing should file a written complaint in accordance with Section III. above.

All allegations of retaliation against a Whistleblower or interference with an individual seeking to disclose potential Wrongdoing will be thoroughly investigated by the Authority. Any employee who retaliates against or has attempted to interfere with any individual for having in good faith disclosed potential Wrongdoing may be subject to discipline or other administrative action, which may include termination of employment. Any allegation of retaliation or interference will be treated as a separate matter and treated seriously irrespective of the outcome of the initial complaint.


V. OTHER LEGAL RIGHTS NOT IMPAIRED

Nothing in this Policy shall be deemed to diminish or impair the rights of an employee or the Authority under any law, rule, regulation or collectively negotiated agreement or to prohibit any Personnel Action which otherwise would have been taken regardless of any disclosure of information.

Specifically, this Policy is not intended to limit any rights or remedies that an individual may have under the laws of the United States and the State of New York, including but not limited to the following provisions: Civil Service Law § 75-b, Labor Law § 740, State Finance Law § 191 (commonly known as the “False Claims Act”), and Executive Law § 55(1).

VI. ADMINISTRATION OF POLICY

The Executive Director shall be responsible for interpreting, implementing, and administering this Policy. Such responsibility may include developing any operational and/or administrative policies and procedures necessary to carry out the intent of the Policy.

 GENERAL POLICY	SECTION TITLE	NUMBER 25-2-07
	POLICIES -- PERSONNEL	
APPROVED	SUBJECT	
BOARD MEETING NUMBER: 762 RESOLUTION NUMBER: 6495 DATE: April 9, 2024	CODE OF ETHICS GOVERNING EMPLOYEES	

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- A. New York State Thruway Authority (Authority) employees shall comply with all laws, including but not limited to the Federal Hatch Act, Section 94(15) of the Executive Law, Sections 73, 73-a and 74 of the Public Officers Law and the Commission on Ethics and Lobbying in Government’s rules and regulations found in 19 NYCRR Part 930 et seq.
- B. Authority employees shall perform their duties with transparency, without favor and refrain from engaging in outside matters of financial or personal interest, including other employment, that could impair independence of judgment or prevent the proper exercise of one’s official duties.
- C. Authority employees shall not directly or indirectly make, advise or assist any person to make any financial investment based upon information available through the employee’s official position that could create any conflict between their public duties and interests and their private interests.
- D. Authority employees shall not use or attempt to use their official position with the Authority to secure unwarranted privileges for themselves, members of their family or others, including employment with the Authority or contracts for materials or services with the Authority.
- E. Authority employees must conduct themselves at all times in a manner that avoids any appearance that they can be improperly or unduly influenced, that they could be affected by the position of or relationship with any other party, or that they are acting in violation of their public trust.
- F. Authority employees may not engage in any official transaction with an outside entity in which they have a direct or indirect financial interest that may reasonably conflict with the proper discharge of their official duties.
- G. The Executive Director, Chief of Staff and/or General Counsel shall be responsible for promulgating additional guidelines and restrictions.

CODE OF ETHICS GOVERNING BOARD MEMBERS

1. PURPOSE

This Code of Ethics is designed to promote:

- a. honest and ethical conduct, including the ethical handling of actual or apparent conflicts of interest between personal and professional relationships;
- b. full, fair, accurate, timely and understandable disclosure in reports and documents that the Authority files with, or submits to, governmental agencies and in public communications made by the Authority;
- c. compliance with applicable governmental laws, rules and regulations;
- d. prompt internal reporting of violations of this Code of Ethics to the appropriate person; and
- e. accountability for adherence to this Code of Ethics.

2. APPLICABILITY

- a. This Code of Ethics applies to the Board Members of the Authority and may be amended only by a vote of such Board Members.
- b. This Code of Ethics represents an overall ethical framework by which all Board Members should endeavor to conduct themselves. It is not an exclusive listing of all ethical rules or requirements. All Board Members should be cognizant of their responsibilities under the New York State Public Officers Law and should inquire of the Authority Ethics Officer as to whether any contemplated act, which a Board Member believes may violate these or other ethical standards, is in violation of this Code of Ethics or any other ethics law, rule or requirement.

3. GENERAL PROVISIONS

- a. Board Members shall carry out their duties with honesty and integrity.
- b. Board Members shall comply with all applicable laws, rules and regulations in the performance of their duties as Board Members of the Authority.
- c. Board Members shall exercise the utmost good faith in all transactions involving and relating to the exercise of their Authority duties and their service to the public, and should endeavor to pursue a course of conduct

which will not raise suspicion among the public that they are likely to be engaged in acts that are in violation of their public trust.

- d. Board Members shall not by their conduct give reasonable basis for the impression that any person can improperly influence them or unduly enjoy their favor in the performance of their official duties, or that they are affected by the kinship, rank, position or influence of any party or person.
- e. Board Members shall not use or attempt to use their official positions to secure unwarranted privileges or exemptions for themselves or others.
- f. Board Members shall require full, fair, honest and accurate recording and reporting of financial and other information and will require internal controls to ensure that Authority transactions are properly authorized, that Authority assets are safeguarded, that operations are conducted in accordance with Board directives and that financial statements for external purposes are presented in conformity with generally accepted accounting principles.

4. CONFLICTS OF INTEREST

- a. Board Members shall not accept employment which will impair their independence of judgment in the exercise of their Board Member duties.
- b. Board Members shall not accept employment or engage in any business or professional activity which will require them to disclose confidential information which was gained by reason of their positions as Board Members.
- c. Board Members shall not disclose confidential information acquired by them in the course of their Board Member duties nor use such information to further their personal interests.
- d. No Board Member should have any interest, financial or otherwise, direct or indirect, or engage in any business, transaction or professional activity or incur any obligation of any nature which is in actual, potential or apparent conflict with the proper discharge of the Board Member's duties. The Board Member shall be under an ongoing obligation to disclose any actual, potential or apparent conflict of interest and shall take appropriate steps to eliminate or abate the conflict, including recusal.
- e. Board Members shall abstain from making personal investments in enterprises which they have reason to believe may be directly involved in decisions to be made by them or which will otherwise create substantial conflict between their duties in the public interest and their private interests.
- f. Board Members should perform Board Member duties impartially and diligently. A Board Member should abstain from the discussion, consideration and determination by the Board in any case, proceeding, application, or any matter in which the Board Member's impartiality might be

reasonably questioned or in which the Board Member has any conflict of interest.

- g. Board Members are prohibited from receiving compensation for appearing or rendering services against the Authority in relation to any matter.
- h. Board Members are prohibited from serving as officers of any political party or political organization or as members of any political party committee including political party district leader or as members of a national committee of a political party.

5. **RECUSAL PROCEDURE**

If a Board Member has a conflict of interest, financial or otherwise, with the proper discharge of the Board Member's duties, then the Board Member shall follow the procedure set forth in this Paragraph.

- a. The Board Member shall promptly disclose the Board Member's interest to the other Board Members and the Authority's Executive Director and describe all material facts concerning the interest known to the Board Member. After such disclosure, the Executive Director, in consultation with the Authority Ethics Officer, shall make a record of such disclosure and advise appropriate staff that they are prohibited from communicating with such Board Member about such matter. Further, if after such disclosure such matter is on an agenda for or is otherwise raised at a Board meeting, the Board Member shall recuse themselves from all consideration and voting on such matter and such recusal and the reason therefore shall be recorded in the minutes of such Board meeting. As a best practice, the Board Member should leave the Board meeting (where practicable) while the other Board Members complete their discussion, consideration and vote.
- b. After full disclosure to the Board and the Authority's Executive Director, nothing contained herein shall be construed or applied to prohibit any firm, association, corporation or entity, in which the Board Member is a member, associate, retired member, of counsel, shareholder or owner, from appearing, practicing, communicating or otherwise rendering services in relation to any matter before, or transacting business with the Authority where such Board Member does not participate in any way on behalf of the party in the bidding solicitation or negotiation process, does not participate in the decision to award the contract, and does not share in the net revenues resulting therefrom, or, acting in good faith, it is reasonably believed that such Board Member would not share in the net revenues therefrom, and where such Board Member otherwise complies with all other directives provided by the Authority Ethics Officer.

6. GIFTS

No Board Member shall, directly or indirectly, solicit, accept, or receive any gift having more than a nominal value, whether in the form of money, service, loan, travel, lodging, meals, refreshments, entertainment, discount, forbearance or promise, or in any other form, under circumstances in which it could be reasonably inferred that the gift was intended to influence the Board Member, or could reasonably be expected to influence the Board Member, in the performance of the Board Member's Authority duties, or was intended as a reward for any official action on the Board Member's part or was a gift from an individual or entity that does business with the Authority. This provision shall not pertain to gifts received by Board Members while serving in other capacities when it is clear that such gifts were not intended to influence the Board Members with respect to their Authority duties.

7. POST-SERVICE RESTRICTIONS

- a. No former Board Member, within the period of two years immediately following the termination as an Authority Board Member, shall appear or practice before the Authority or receive compensation for any services rendered by such former Board Member on behalf of any person, firm, corporation, or association other than the Authority in relation to any matter before the Authority. This post-service restriction shall not apply to any appearance, practice, communication or rendition of service before the Authority, or to the receipt of compensation for any such services rendered by a former Board Member which is made while carrying out official duties as an elected official or employee of a federal, state or local government or one of its agencies. This post-service restriction shall also not apply if the Chair provides notification to the Commission on Ethics and Lobbying in Government that the former Board Member has expertise, knowledge or experience with respect to a particular matter which meets the needs of the Authority and is otherwise unavailable at a comparable cost.
- b. No former Board Member shall appear before the Authority with regard to any Authority case, application, proceeding or transaction in which they were directly concerned and personally participated, or which was under their active consideration, while serving as a Board Member. This post-service restriction shall not apply to any appearance, practice, communication or rendition of service before the Authority, or to the receipt of compensation for any such services rendered by a former Board Member which is made while carrying out official duties as an elected official or employee of a federal, state or local government or one of its agencies. This post-service restriction shall also not apply if the Chair provides notification to the Commission on Ethics and Lobbying in Government that the former Board Member has expertise, knowledge or experience with respect to a particular matter which meets the needs of the Authority and is otherwise unavailable at a comparable cost.
- c. Nothing contained herein shall prohibit a current or former Board Member from appearing before the Authority in connection with a ministerial matter.

8. DEFINITIONS

As used in this Code of Ethics:

- a. “Business” shall mean any activity conducted with the objective of obtaining money or other things of value. Such activity may be for profit or not for profit.
- b. “Confidential information” shall mean information, whether or not set forth in writing, that is available to Board Members only because of their position as a Board Member of the Authority, including, but not limited to: (i) information not subject to public disclosure under the Freedom of Information Law; (ii) information subject to the attorney/client privilege; (iii) information contained in any document labeled “confidential”; and (iv) information disclosed during an executive session of the Authority Board.