



ERIE COUNTY WATER AUTHORITY
INTEROFFICE MEMORANDUM

To: Jerome D. Schad, Chair
Mark S. Carney, Vice Chair
Peggy A. LaGree, Treasurer

Cc: Terrence D. McCracken, Secretary
Margaret A. Murphy, General Counsel
Karen A. Prendergast, Chief Financial Officer
Russell J. Stoll, Chief Operating Officer
Leonard F. Kowalski, Executive Engineer
Maureen Krause, Ad Hoc Member
Raymond Herman, Ad Hoc Member

From: Jackie Mattina, Associate Attorney

Date: March 17, 2021

Subject: Recommendations from the Independent Ethics Panel

The Independent Ethics Panel (the "IEP") held a meeting on February 25, 2021 to review the following:

- (1) Policy No. 11.8: Code of Ethics & Conflict of Interest Policy
- (2) Policy No. 16.0: Whistleblower Protection Policy
- (3) ECWA Financial Disclosure Form for Calendar Year 2020
- (4) Employee Acknowledgement Form
- (5) 2020 Vendor List

The IEP did not recommend any changes to the Whistleblower Protection Policy and the Nepotism Policy. The IEP further determined it would recommend to the Authority to continue the practice of only including vendors on the Vendors List receiving \$500 or more in the calendar year.

Minor changes are being recommended throughout the Financial Disclosure Form including date changes to reflect the year 2020 and the addition of titles required to file with the Erie County Board of Ethics (Article VI §1) on page 7 of the form. The IEP members also reviewed the 2020 Acknowledgment and discussed that the 2019 Acknowledgment had not been returned with all 2019 ECWA Financial Disclosure Statements. The IEP members are recommending that the 2020 Acknowledgment be made as part of the last page to the 2020 ECWA Financial Disclosure Statement.

While the IEP did not recommend changes to the Code of Ethics & Conflict of Interest Policy, the Legal Department, after reviewing those employees required to file the in-house statements, is recommending certain job titles be added under Article VI Financial Disclosure Statements, Section 2(b)(2) Designated Job Titles. The new titles recommended are one title which seems to have been previously inadvertently overlooked, one title which was a newly created position in 2020, and the inclusion of any Authority personnel overseeing a bid opening for the Authority.

The following documents are forwarded for review by the Governance Committee and the Board of Commissioners:

- (1) Draft Minutes & Report of the February 25, 2021 IEP Meeting
- (2) Policy No. 11.9 Code of Ethics & Conflict of Interest Policy (with tracked changes and in final form)
- (3) Policy No. 16.0 Whistleblower Protection Policy
- (4) 2020 ECWA Financial Disclosure Statement
- (5) 2020 Vendor List
- (6) Employee Letter; and
- (7) Employee Email.

MINUTES and REPORT of the MEETING of the ERIE COUNTY WATER AUTHORITY'S INDEPENDENT ETHICS PANEL held via Microsoft Teams video conference on the 25th day of February 2021.

**PRESENT: Maureen Krause, Ad hoc Member
Raymond Herman, Ad hoc Member
Margaret A. Murphy, General Counsel
Katherine A. Gillette, Associate Attorney**

CALL TO ORDER AT 9:00 a.m.

I. – DISCUSSION

The meeting began with a discussion with the Authority's General Counsel, Margaret A. Murphy, regarding the resignation of Paul Wolf and her letter to members of the Independent Ethics Panel dated February 19, 2021. Ms. Murphy stated the Board requested the letter to be sent to IEP members, so they understood the background and deliberation relating to the adoption of the Authority's Financial Disclosure Statement and its Nepotism Policy. She further explained the Board never intended to limit any discussion among IEP members or to change its agenda. After answering questions, Ms. Murphy left, and the meeting continued.

II. - ROLL CALL

II. - READING OF MINUTES

Motion by Raymond Herman, seconded by Maureen Krause to waive the reading of the Minutes of the Meeting held on Thursday, October 6, 2020. Motion carried.

III. - APPROVAL OF MINUTES

Motion by Mr. Herman, seconded by Ms. Krause to approve the Minutes of the Meeting held on Thursday, October 6, 2020. Motion carried.

IV. NEW BUSINESS

1. Review and discuss proposed changes to the ECWA Financial Disclosure Statement for Calendar Year 2020

IEP members reviewed each section of the proposed financial disclosure statement. The IEP members recommends that Erie County Board of Ethics Section on page 7 be amended to list the titles of the members, officers and employees required to file an annual financial disclosure statement with the Erie County Board of Ethics (i.e., the Commissioners, the Secretary to the Authority, the Chief Operating Officer, the Chief Financial Officer, the General Counsel and the Executive Engineer). The IEP has found this section has caused confusion on the 2019 Financial Disclosure Statement. The IEP members also recommend that a line be added for the "Date" on page 8.

Motion made by Mr. Herman and seconded by Ms. Krause to recommend to the Authority's Board the proposed changes to the 2020 ECWA Financial Statement. Motion carried.

2. Review and discuss proposed revisions to the Code of Ethics & Conflict of Interest Policy

IEP members reviewed the Code of Ethics & Conflict of Interest Policy. The IEP members made no recommendations for revisions to the Code of Ethics & Conflict of Interest Policy.

Motion made by Mr. Herman and seconded by Ms. Krause to recommend to the Authority's Board that no changes be made to the Code of Ethics & Conflict of Interest Policy. Motion carried.

3. Review and discuss proposed revisions to the Authority's Whistleblower Policy

IEP members reviewed the Whistleblower Protection Policy. The IEP members made no recommendations for revisions to the Whistleblower Protection Policy.

Motion made by Mr. Herman and seconded by Ms. Krause to recommend to the Authority's Board that no changes be made to the Whistleblower Protection Policy. Motion carried.

4. Review and discuss the Authority's Nepotism Policy

IEP members reviewed and discussed the Authority's Nepotism Policy. The IEP members made no recommendations for revisions to the Nepotism Policy.

Motion made by Mr. Herman and seconded by Ms. Krause to recommend to the Authority's Board that no changes be made to the Nepotism Policy. Motion carried.

5. Review and discuss proposed changes to the 2020 Acknowledgment

IEP members reviewed the 2020 Acknowledgment and discussed that the 2019 Acknowledgment had not been returned with all 2019 ECWA Financial Disclosure Statements. The IEP members are recommending that the 2020 Acknowledgment be made as the last page to the 2020 ECWA Financial Disclosure Statement.

Motion made by Mr. Herman and seconded by Ms. Krause to recommend to the Authority's Board the proposed changes to the 2020 Acknowledgment. Motion carried.

6. Review and discuss the 2020 Vendor List

IEP members reviewed the proposed 2020 Vendor List and are recommending that the

Authority continue the practice of only listing vendors receiving \$500 or more.

Motion made by Mr. Herman and seconded by Ms. Krause to recommend to the Authority's Board the 2020 Vendor List. Motion carried.

V. ADJOURNMENT

Motion to adjourn by Mr. Herman and seconded by Ms. Krause. Motion carried and meeting adjourned at 10:43 a.m.

**ERIE COUNTY WATER AUTHORITY
HR Policies/Procedures**

Re:	CODE OF ETHICS & CONFLICTS OF INTEREST POLICY	Policy No.	11.9
------------	--	-------------------	-------------

Application:	All Employees	Adopted:	06/16/05
		Amended:	05/11/06
			04/03/08
			05/21/09
			01/26/12
			08/22/13
			03/26/19
			03/24/20
			01/21/21
			03/25/21

**ARTICLE I
DEFINITIONS**

Section 1: Definitions.

- (a) “Ad hoc member” means a committee member who is not a duly appointed Commissioner and who is appointed to serve as a non-voting committee member pursuant to the Authority’s By-laws.
- (b) “Authority” means the Erie County Water Authority.
- (c) “Board” means the Authority’s Board of Commissioners.
- (d) “Chief Operating Officer” means the individual whose position is defined under the job specifications for Executive Director.
- (e) “Code” means this Code of Ethics and Conflicts of Interest Policy.
- (f) “Employee” includes any Authority employee holding either a full-time position or a regular, part-time position.
- (g) “Ethics Committee” means a standing committee of the Board, as described in Article IV, section 4 of the Authority’s By-Laws.
- (h) “First-degree family members” mean parents, step-parents, children, step-children, and siblings, including half- and step-siblings.

- (i) “General Counsel” means the individual whose position is defined under the job specifications for Attorney.
- (j) “Immediate family” means any first-degree family member related by blood or marriage.
- (k) “Interested Person” means any member, ad hoc member, officer, or employee who has a direct or indirect personal financial interest in any matter pending before the Authority.
- (l) “Independent Ethics Panel” or “IEP” means the entity whose powers are proscribed in Article VI, section 4, sub-section (e) of the Authority’s By-Laws.
- (m) “Members” mean the Authority’s Commissioners, duly appointed pursuant to Public Authorities Law § 1053(1).
- (n) “Officers” mean the Chair, Vice Chair and Treasurer and other officers as may be appointed pursuant to Public Authorities Law § 1053(3), including but not limited to the Secretary to the Authority.
- (o) “Personal financial interest” means a financial interest benefiting a member, ad hoc member, officer, or employee, and/or his/her immediate family.
- (p) “Personal loan” means a loan to the member, ad hoc member, officer, or employee, or member of his/her immediate family.

ARTICLE II CODE OF ETHICS

Section 1: Purpose.

As a public benefit corporation, the Authority must conduct its operations in a manner that best serves the interests of its customers and the general public. Its mission is to provide the Authority’s customers with a plentiful supply of safe, high quality and affordable drinking water through reliable infrastructure.

The Authority expects its members, ad hoc members, officers, and employees to observe high ethical standards of conduct in the performance of their duties, and in compliance with all laws and regulations governing the Authority’s operation. This Code of Ethics shall serve as a guide for official conduct and is intended to enhance the ethical and professional performance of the Authority’s members, ad hoc members, officers, and employees and to preserve the public confidence in the Authority’s mission.

Section 2: Policy.

Members, ad hoc members, officers, and employees shall perform their duties with transparency and without favor, and shall refrain from engaging in outside matters of personal financial interest or of personal interest, including other employment, that could impair their independence of judgment, or prevent the proper exercise of one's official duties.

This Code is in addition to any and all other laws, restrictions, standards and provisions applicable to the conduct of the Authority's members, ad hoc members, officers, and employees.

Section 3: Standard of Conduct.

- (a) The Authority's members, ad hoc members, officers, and employees shall:
 - (1) Endeavor to perform the duties of their position to the best of their ability and in a spirit of service to all persons and concerns for which the Authority was created;
 - (2) Uphold the high standards of dedicated public service rendered over the years by Authority members, ad hoc members, officers, and employees;
 - (3) Support and encourage fellow employees in the proper execution of their duties;
 - (4) Address any question of conduct or regulation that may occur to either the Authority's General Counsel, or the Chair of the Independent Ethics Panel (IEP).
- (b) Members, ad hoc members, officers, and employees shall conduct themselves at all times in a manner that avoids an 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 the public trust.
- (c) Members, officers, and employees shall manage all matters within the scope of the Authority's mission independent of any other affiliations or employment. Members, including ad hoc members, officers, and employees shall strive to fulfill their professional responsibility to the Authority without bias and shall support the Authority's mission to the fullest.

Section 4: Prohibited Conduct.

- (a) The Authority's members, ad hoc members, officers, and employees shall not:

- (1) Directly or indirectly received any compensation or interest, financial or otherwise, or incurred any obligation, which would be a substantial conflict with the proper discharge of their duties with the Authority;
 - (2) Engage in other employment that might impair the independence of their judgment in the execution of their duties with the Authority;
 - (3) Disclose confidential information, acquired in the course of official duties or use such confidential information to further personal financial interests;
 - (4) Directly or indirectly solicit, accept or receive any gift, whether in the form of a promise, money, services, a loan, lodging, meals, entertainment or anything of value.
 - (5) Arrange for the extension of credit or renew an extension of credit in the form of a personal loan from the Authority.
- (b) Unless otherwise permitted by the IEP or the Ethics Committee, no immediate family member of a member, ad hoc member, officer, or employee may directly or indirectly solicit, accept, or receive any other items described in § 4(a)(4) of this Article.
- (c) Unless otherwise permitted by the IEP or the Ethics Committee, no member, ad hoc member, officer, employee nor an immediate family member of a member, ad hoc member, officer, or employee may engage in the following actions:
- (1) Speculating or dealing in equipment, supplies, or materials normally purchased by the Authority;
 - (2) Borrowing money from the Authority, suppliers, significant commercial customers, individuals or firms with whom the Authority does business (loans or mortgages from banks or individuals doing business with the Authority are exempt if the terms are at current rates and the customary collateral for such transactions is provided);
 - (3) Acquiring an interest in real estate in which it is known that the Authority also has a current or anticipated interest;
 - (4) Misusing information to which the individual has access by reason of his or her position, including, but not limited to, disclosing confidential information (of a technical, financial or business

nature) to others outside or inside the business (whether or not a consideration is received), or using such information for one's own interest or the interest of an immediate family member;

- (5) Soliciting funds or other items of value from the Authority's vendors, suppliers or consultants for self-interest or for the benefit of any other organization, club or person, whether such other persons or entities are charitable, religious or profit-making;
 - (6) Serving as an officer, director, manager, consultant, volunteer, or an independent contractor with another company or business organization directly or indirectly related to the Authority without specific authorization from the Authority; and
 - (7) Legally representing, or exerting influence in favor of a current or potential vendor, including but not limited to, assisting in the drafting of applications, plans or proposals for Authority approval or submitting such applications, plans or proposals to the Authority.
- (d) The prohibited actions and activities set forth in this section do not encompass every situation that may lead to a conflict of interest.

ARTICLE III CONFLICTS OF INTEREST POLICY

Section 1: Purpose.

- (a) The purpose of this Conflicts of Interest Policy is to protect the Authority's interest when it is contemplating entering into a transaction or arrangement that might benefit the private interest of a member, ad hoc member, officer, or employee of the Authority. This policy is intended to supplement, but not replace, any applicable state laws governing conflicts of interest applicable to the Authority.
- (b) A conflict of interest is just one example of a violation of ethical conduct. This policy is intended to complement the Authority's Code of Ethics by providing specific procedures to deal with conflicts of interest. To the extent that a matter falls within the scope of both this policy and the Authority's Code of Ethics, the provisions of this Conflicts of Interest Policy shall govern.

Section 2: Prohibition against Conflicts.

- (a) Section 1068 of the New York Public Authorities Law sets forth the following requirements with respect to conflicts of interest:

It shall be a misdemeanor for any of the members of the authority, or any officer, agent, servant or employee thereof, employed or appointed by them to be in any way or manner interested directly or indirectly in the furnishing of work, materials, supplies or labor, or in any contract therefor which the authority is empowered by this act to make.

In the event the Authority discovers a violation of the above provision, the Authority shall conduct an investigation and, if warranted, report the offense to the Inspector General of the State of New York.

- (b) This Conflicts of Interest Policy provides additional guidance regarding actual or potential conflicts of interest, including circumstances not within the scope of Public Authorities Law § 1068.

Section 3: Personal Financial Interest.

- (a) A person has a personal financial interest if the person has, directly or indirectly, through business, investment or family:
- (1) an ownership or investment interest in, or employment with, any entity with which the Authority has a transaction or business arrangement; or
 - (2) a compensation arrangement with any entity or individual with which the Authority has a transaction or arrangement; or
 - (3) a potential ownership or investment interest in, or compensation arrangement with, any entity or individual with which the Authority is negotiating a transaction or arrangement.
- (b) Compensation includes direct and indirect remuneration as well as gifts or favors that are substantial in nature.
- (c) A personal financial interest is not necessarily a conflict of interest. No conflict of interest exists where a personal financial interest arises solely from an immediate family member that holds a clerical, ministerial or low-level management position with an existing or potential vendor, lacks the power to influence the relationship between the business and the Authority and did not obtain his or her position as a means to influence a member, ad hoc member, officer, or employee of the Authority.

- (d) A person who has a personal financial interest may have a conflict of interest only if the Board determines that a conflict of interest exists pursuant to the enforcement and hearing procedures set forth in Article V, § 2 of this Code.

Section 4: Duty to Report.

- (a) A member, ad hoc member, officer, or employee must immediately report to the Authority's General Counsel or to the IEP Chair gifts of any value, whether in the form of a promise or an offer to give money, services, a loan, or to provide lodgings, meals or entertainment.
- (b) An interested person must disclose the existence of his or her personal financial interest and all material facts surrounding the Financial Interest to the Authority's General Counsel and to the IEP.
- (c) If the Authority's General Counsel or the IEP have reasonable cause to believe an interested person has failed to disclose an actual or possible conflict of interest, they shall inform the interested person of the basis for such belief and afford him/her an opportunity to explain the alleged failure to disclose.
- (d) After disclosure of the personal financial interest, the General Counsel and the IEP will interview the interested person and conduct whatever investigation is warranted by the disclosure.
- (e) After exercising due diligence, the IEP will report its findings and recommendation to the Ethics Committee. The Ethics Committee will review such findings and recommendations. If the Ethics Committee determines further action should be taken, it will forward the matter to the Board.

Section 5: Standard of Review.

- (a) After exercising due diligence, if the Ethics Committee determines the Authority can obtain an equal or more advantageous transaction or arrangement with reasonable efforts from a person or entity that would not give rise to a conflict of interest, then it will forward the matter to the Board with its recommendation.
- (b) If the Ethics Committee determines an equal or more advantageous transaction or arrangement is not reasonably attainable under circumstances that would not give rise to a conflict of interest, then it will forward the matter for the Board to determine whether the transaction or arrangement should proceed or be terminated. A Board ruling to proceed

shall include a determination that the transaction or arrangement is in the Authority's best interest, is done for its own benefit and is fair and reasonable to the Authority.

ARTICLE IV EMPLOYMENT RESTRICTIONS

Section 1: One-Year Moratorium.

- (a) No person who has served as a member, officer or employee of the Authority shall within a period of one year after the termination of such service or employment appear or practice before the Authority or receive compensation for any services rendered by the member, officer or employee through or on behalf of any person, firm, corporation or association in relation to any case or transaction with respect to which such person was directly concerned, or participated in, during the period of his or her service with the Authority.
- (b) Notwithstanding the foregoing, the one-year moratorium shall not apply to (i) normal business issues arising as a result of the person's status as a water customer of the Authority and (ii) professional services provided by such person pursuant to a written agreement with the Authority, to the extent such agreement is otherwise consistent with this Code of Ethics.

Section 2: Nepotism Policy.

- (a) In no event shall an immediate family member of a member be hired during the term of the member.
- (b) An immediate family member of an ad hoc member, officer, or employee may be considered for a permanent position only if all of the following conditions are met:
 - (1) The ad hoc member, officer, or employee had no role in approving or appointing the immediate family member, pursuant to HR Policy No. 92 (Employment Opportunities Posting and Hiring); and
 - (2) The immediate family member is an appointment from a Civil Service List; or
 - (3) There will be no supervisory relationship between the immediate family member and the related ad hoc member, officer, or employee, and the immediate family member and the related member, ad hoc member, officer, or employee will not work in the same department.

- (c) If current members, ad hoc members, officers, or employees marry, it may be necessary for the Authority to reassign one or both individuals, particularly in the case of close working, or direct supervisory relationships.
- (d) An immediate family member may be considered for summer or temporary employment only if all of the following conditions are met:
 - (1) There will be no supervisory relationship between the immediate family member and the related ad hoc member, officer, or employee; and
 - (2) The immediate family member and the related ad hoc member, officer, or employee will not work in the same department.
- (e) In no event shall a related ad hoc member, officer, or employee participate in any decision to hire, promote, discipline, or discharge an immediate family member.
- (f) The effective date of this section is March 26, 2019. Immediate family members whose date of hire is before May 1, 2018 may continue in their current position or may be promoted despite the provisions set forth in this section.

ARTICLE V IMPLEMENTATION & ENFORCEMENT

Section 1: Distribution.

The Code shall be reviewed annually by the Board and posted on the Authority's website. All members, ad hoc members, officers, and employees shall be given a copy of this Code upon appointment or commencement of employment and thereafter annually.

Section 2: IEP & Ethics Committee.

- (a) The Board designates the ad hoc members of the IEP as its Ethics Officers, who shall report to the Ethics Committee and Board.
- (b) The Ethics Committee shall prepare, review, update, and approve financial disclosure statements to be filed by members, ad hoc members, officers, and designated employees with the IEP.
- (c) The IEP shall have the following duties:

- (1) Interpret and make recommendations with regard to any questions or purported violations of this Code and any statutory ethical standards affecting members, ad hoc members, officers, employees or their immediate family;
 - (2) Counsel in confidence all members, ad hoc members, officers, employees, and their immediate family, who seek advice about ethical behavior;
 - (3) Receive and investigate complaints about possible conflicts of interest and ethics violations;
 - (4) Recommend the dismissal of any complaint found to be without substance;
 - (5) Prepare an investigation report of its findings and recommendations for the Ethics Committee to consider and to recommend such further action be taken by the Board;
 - (6) Record the receipts of gifts or gratuities of any kind, received by any member, ad hoc member, officer, employee or immediate family member, who shall notify the IEP within 48 hours of receipt of such gifts and gratuities.
- (d) Any reports or recommendations made by the IEP must list those ad hoc members who concur or dissent with the report or recommendation.
 - (e) Members, ad hoc members, officers, and employees are required to report possible unethical behavior by a member, ad hoc member, officer, or employee to the IEP and the Authority's General Counsel. Such a complaint may be filed anonymously and protects the reporting member, ad hoc member, officer, or employee from retaliation. Any form of retaliation is prohibited under this Code and constitutes an ethical violation of this Code.
 - (f) At its discretion, the Ethics Committee may recommend to the Board appropriate disciplinary action, which may include, but is not limited to, a reprimand, suspension or termination. No disciplinary action may be taken without affording the person due process to be heard and to respond to the complaint of unethical behavior. This hearing may also be subject to the applicable provisions, if any, of Civil Service Law § 75 or any applicable provisions of a collective bargaining agreement.

Section 3: Records of Proceedings.

The IEP shall keep records of all proceedings, including:

- (a) Names of the persons who disclosed or otherwise were found to have a personal financial interest in connection with an actual or possible conflict of interest, the nature of the personal financial interest, any action taken to determine whether a conflict of interest was present, and the Board's ruling, if any, as to whether a conflict of interest in fact existed.
- (b) Names of the persons who were present for discussions and votes relating to the transaction or arrangement, the content of the discussion, including any alternatives to the proposed transaction or arrangement, and a record of any votes taken or written rulings made in connection with the matter.

ARTICLE VI

FINANCIAL DISCLOSURE STATEMENTS

Section 1: Erie County Board of Ethics.

- (a) Pursuant to Public Authorities Law § 2825 (3) and Article 18 of the General Municipal Law, members, officers, and designated employees must file an [annual financial disclosure statement](#) with the Erie County Board of Ethics on or before the fifteenth day of May with respect to the preceding calendar year.
- (b) A member, officer, or designated employee who has timely filed an application for automatic six-month extension with the Internal Revenue Service ("IRS") may file a supplemental statement of financial disclosure seven days after the expiration of the six-month automatic extension with the IRS. This six-month extension does not extend the May 15th deadline but does allow an individual to file a supplemental financial statement, correcting any representations made in the initial financial statement.
- (c) The following members, officers, and employees are required to file annual disclosure statements with the Erie County Board of Ethics: Commissioners, the Secretary of the Authority, the Chief Operating Officer, the Chief Financial Officer, the General Counsel, and Executive Engineer.
- (d) The following members, officers, and employees are required to file an [Employee Disclosure](#) Form with the Erie County Board of Ethics within 10 days of appointment: Commissioners, the Secretary of the Authority, the Chief Operating Officer, the Chief Financial Officer, the General Counsel, and Executive Engineer.

Section 2: In-House Financial Disclosure Statements

- (a) The members, ad hoc members, officers, and designated employees are required to file an in-house financial disclosure statement with the

Authority's IEP within ten days of appointment or commencement of employment and thereafter annually.

- (b) In-house financial disclosure statements shall be filed by all members, all employees holding an "exempt" job title, and other employees holding certain job titles:

(1) Exempt Job Titles

- i. Associate Attorney;
- ii. Associate Attorney RPT;
- iii. Chief Financial Officer
- iv. Chief Operating Officer
- v. Comptroller;
- vi. Comptroller (Part time);
- vii. General Counsel
- viii. Executive Engineer;
- ix. Secretary to the Authority.

(2) Designated Job Titles

- i. Administrative Assistant;
- ii. Assistant Business Office Manager;
- iii. Assistant Manager of Accounting Services;
- iv. Automotive Mechanic Crew Chief;
- v. Business Office Manager;
- vi. Cash Manager;
- vii. Chemist and Chief Water Treatment Plant Operator;
- viii. Chief Business Officer Manager-Budget Director;
- ix. Chief Customer Service Representative;
- x. Chief Instrument and Control System Specialist
- xi. Claims Representative-Risk Manager;
- xii. Construction Inspector;
- xiii. Coordinator of Employee Relations;
- xiv. Deputy Administrative Director
- xv. Deputy Associate Attorney;
- xvi. Deputy Director/Chief Financial Officer;
- xvii. Director of Administration;
- xviii. Director of Employee Relations;
- xix. Director of Equal Employment Opportunity (ECWA);
- xx. Director of Human Resources;
- xxi. Director of Purchasing & Inventory Management;
- xxii. Director of Operations;
- xxiii. Director of Water Quality;
- xxiv. Distribution Engineer;
- xxv. Electrical Engineer;
- xxvi. Employee Benefits Specialist;

- xxvii. Manager of Accounting Services;
 - xxviii. Municipal Liaison ECWA (Part time);
 - xxix. Production Engineer;
 - xxx. Production Technician;
 - xxxi. Security Officer (ECWA);
 - xxxii. Senior Distribution Engineer;
 - xxxiii. Senior Micro Technical Support Specialist (ECWA);
 - xxxiv. Senior Production Engineer;
 - xxxv. Senior Stores Clerk;
 - xxxvi. Any Authority personnel overseeing a bid opening; and
 - xxxvii. Any other position designated by Board resolution.
- (c) The General Counsel or the Independent Ethics Panel may direct any other employee who procures goods and services on the Authority's behalf to file a financial disclosure statement.
- (d) All members, ad hoc members, officers, and designated employees have the ongoing obligation to immediately report any conflict of interest that may arise for them or for any of their immediate family members.
- (e) Members, ad hoc members, officers, and designated employees must annually file an in-house financial disclosure statement with the IEP on or before the fifteenth day of May with respect to the preceding calendar year. In-house financial disclosure statements shall be placed in a sealed envelope and addressed to the Independent Ethics Panel, c/o Legal Department, 295 Main Street, Room 350, Buffalo, New York 14203.
- (f) The Authority shall retain all in-house financial disclosure statements for a period of seven years from the required filing date.

ERIE COUNTY WATER AUTHORITY
HR Policies/Procedures

Re:	CODE OF ETHICS & CONFLICTS OF INTEREST POLICY	Policy No.	11.98
Application: All Employees		Adopted:	06/16/05
		Amended:	05/11/06
			04/03/08
			05/21/09
			01/26/12
			08/22/13
			03/26/19
			03/24/20
			01/21/21
			<u>03/25/21</u>

ARTICLE I
DEFINITIONS

Section 1: Definitions.

- (a) “Ad hoc member” means a committee member who is not a duly appointed Commissioner and who is appointed to serve as a non-voting committee member pursuant to the Authority’s By-laws.
- (b) “Authority” means the Erie County Water Authority.
- (c) “Board” means the Authority’s Board of Commissioners.
- (d) “Chief Operating Officer” means the individual whose position is defined under the job specifications for Executive Director.
- (e) “Code” means this Code of Ethics and Conflicts of Interest Policy.
- (f) “Employee” includes any Authority employee holding either a full-time position or a regular, part-time position.
- (g) “Ethics Committee” means a standing committee of the Board, as described in Article IV, section 4 of the Authority’s By-Laws.
- (h) “First-degree family members” mean parents, step-parents, children, step-children, and siblings, including half- and step-siblings.

- (i) “General Counsel” means the individual whose position is defined under the job specifications for Attorney.
- (j) “Immediate family” means any first-degree family member related by blood or marriage.
- (k) “Interested Person” means any member, ad hoc member, officer, or employee who has a direct or indirect personal financial interest in any matter pending before the Authority.
- (l) “Independent Ethics Panel” or “IEP” means the entity whose powers are proscribed in Article VI, section 4, sub-section (e) of the Authority’s By-Laws.
- (m) “Members” mean the Authority’s Commissioners, duly appointed pursuant to Public Authorities Law § 1053(1).
- (n) “Officers” mean the Chair, Vice Chair and Treasurer and other officers as may be appointed pursuant to Public Authorities Law § 1053(3), including but not limited to the Secretary to the Authority.
- (o) “Personal financial interest” means a financial interest benefiting a member, ad hoc member, officer, or employee, and/or his/her immediate family.
- (p) “Personal loan” means a loan to the member, ad hoc member, officer, or employee, or member of his/her immediate family.

ARTICLE II CODE OF ETHICS

Section 1: Purpose.

As a public benefit corporation, the Authority must conduct its operations in a manner that best serves the interests of its customers and the general public. Its mission is to provide the Authority’s customers with a plentiful supply of safe, high quality and affordable drinking water through reliable infrastructure.

The Authority expects its members, ad hoc members, officers, and employees to observe high ethical standards of conduct in the performance of their duties, and in compliance with all laws and regulations governing the Authority’s operation. This Code of Ethics shall serve as a guide for official conduct and is intended to enhance the ethical and professional performance of the Authority’s members, ad hoc members, officers, and employees and to preserve the public confidence in the Authority’s mission.

Section 2: Policy.

Members, ad hoc members, officers, and employees shall perform their duties with transparency and without favor, and shall refrain from engaging in outside matters of personal financial interest or of personal interest, including other employment, that could impair their independence of judgment, or prevent the proper exercise of one's official duties.

This Code is in addition to any and all other laws, restrictions, standards and provisions applicable to the conduct of the Authority's members, ad hoc members, officers, and employees.

Section 3: Standard of Conduct.

- (a) The Authority's members, ad hoc members, officers, and employees shall:
 - (1) Endeavor to perform the duties of their position to the best of their ability and in a spirit of service to all persons and concerns for which the Authority was created;
 - (2) Uphold the high standards of dedicated public service rendered over the years by Authority members, ad hoc members, officers, and employees;
 - (3) Support and encourage fellow employees in the proper execution of their duties;
 - (4) Address any question of conduct or regulation that may occur to either the Authority's General Counsel, or the Chair of the Independent Ethics Panel (IEP).
- (b) Members, ad hoc members, officers, and employees shall conduct themselves at all times in a manner that avoids an 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 the public trust.
- (c) Members, officers, and employees shall manage all matters within the scope of the Authority's mission independent of any other affiliations or employment. Members, including ad hoc members, officers, and employees shall strive to fulfill their professional responsibility to the Authority without bias and shall support the Authority's mission to the fullest.

Section 4: Prohibited Conduct.

- (a) The Authority's members, ad hoc members, officers, and employees shall not:

- (1) Directly or indirectly received any compensation or interest, financial or otherwise, or incurred any obligation, which would be a substantial conflict with the proper discharge of their duties with the Authority;
 - (2) Engage in other employment that might impair the independence of their judgment in the execution of their duties with the Authority;
 - (3) Disclose confidential information, acquired in the course of official duties or use such confidential information to further personal financial interests;
 - (4) Directly or indirectly solicit, accept or receive any gift, whether in the form of a promise, money, services, a loan, lodging, meals, entertainment or anything of value.
 - (5) Arrange for the extension of credit or renew an extension of credit in the form of a personal loan from the Authority.
- (b) Unless otherwise permitted by the IEP or the Ethics Committee, no immediate family member of a member, ad hoc member, officer, or employee may directly or indirectly solicit, accept, or receive any other items described in § 4(a)(4) of this Article.
- (c) Unless otherwise permitted by the IEP or the Ethics Committee, no member, ad hoc member, officer, employee nor an immediate family member of a member, ad hoc member, officer, or employee may engage in the following actions:
- (1) Speculating or dealing in equipment, supplies, or materials normally purchased by the Authority;
 - (2) Borrowing money from the Authority, suppliers, significant commercial customers, individuals or firms with whom the Authority does business (loans or mortgages from banks or individuals doing business with the Authority are exempt if the terms are at current rates and the customary collateral for such transactions is provided);
 - (3) Acquiring an interest in real estate in which it is known that the Authority also has a current or anticipated interest;
 - (4) Misusing information to which the individual has access by reason of his or her position, including, but not limited to, disclosing confidential information (of a technical, financial or business

nature) to others outside or inside the business (whether or not a consideration is received), or using such information for one's own interest or the interest of an immediate family member;

- (5) Soliciting funds or other items of value from the Authority's vendors, suppliers or consultants for self-interest or for the benefit of any other organization, club or person, whether such other persons or entities are charitable, religious or profit-making;
 - (6) Serving as an officer, director, manager, consultant, volunteer, or an independent contractor with another company or business organization directly or indirectly related to the Authority without specific authorization from the Authority; and
 - (7) Legally representing, or exerting influence in favor of a current or potential vendor, including but not limited to, assisting in the drafting of applications, plans or proposals for Authority approval or submitting such applications, plans or proposals to the Authority.
- (d) The prohibited actions and activities set forth in this section do not encompass every situation that may lead to a conflict of interest.

ARTICLE III CONFLICTS OF INTEREST POLICY

Section 1: Purpose.

- (a) The purpose of this Conflicts of Interest Policy is to protect the Authority's interest when it is contemplating entering into a transaction or arrangement that might benefit the private interest of a member, ad hoc member, officer, or employee of the Authority. This policy is intended to supplement, but not replace, any applicable state laws governing conflicts of interest applicable to the Authority.
- (b) A conflict of interest is just one example of a violation of ethical conduct. This policy is intended to complement the Authority's Code of Ethics by providing specific procedures to deal with conflicts of interest. To the extent that a matter falls within the scope of both this policy and the Authority's Code of Ethics, the provisions of this Conflicts of Interest Policy shall govern.

Section 2: Prohibition against Conflicts.

- (a) Section 1068 of the New York Public Authorities Law sets forth the following requirements with respect to conflicts of interest:

It shall be a misdemeanor for any of the members of the authority, or any officer, agent, servant or employee thereof, employed or appointed by them to be in any way or manner interested directly or indirectly in the furnishing of work, materials, supplies or labor, or in any contract therefor which the authority is empowered by this act to make.

In the event the Authority discovers a violation of the above provision, the Authority shall conduct an investigation and, if warranted, report the offense to the Inspector General of the State of New York.

- (b) This Conflicts of Interest Policy provides additional guidance regarding actual or potential conflicts of interest, including circumstances not within the scope of Public Authorities Law § 1068.

Section 3: Personal Financial Interest.

- (a) A person has a personal financial interest if the person has, directly or indirectly, through business, investment or family:
- (1) an ownership or investment interest in, or employment with, any entity with which the Authority has a transaction or business arrangement; or
 - (2) a compensation arrangement with any entity or individual with which the Authority has a transaction or arrangement; or
 - (3) a potential ownership or investment interest in, or compensation arrangement with, any entity or individual with which the Authority is negotiating a transaction or arrangement.
- (b) Compensation includes direct and indirect remuneration as well as gifts or favors that are substantial in nature.
- (c) A personal financial interest is not necessarily a conflict of interest. No conflict of interest exists where a personal financial interest arises solely from an immediate family member that holds a clerical, ministerial or low-level management position with an existing or potential vendor, lacks the power to influence the relationship between the business and the Authority and did not obtain his or her position as a means to influence a member, ad hoc member, officer, or employee of the Authority.

- (d) A person who has a personal financial interest may have a conflict of interest only if the Board determines that a conflict of interest exists pursuant to the enforcement and hearing procedures set forth in Article V, § 2 of this Code.

Section 4: Duty to Report.

- (a) A member, ad hoc member, officer, or employee must immediately report to the Authority's General Counsel or to the IEP Chair gifts of any value, whether in the form of a promise or an offer to give money, services, a loan, or to provide lodgings, meals or entertainment.
- (b) An interested person must disclose the existence of his or her personal financial interest and all material facts surrounding the Financial Interest to the Authority's General Counsel and to the IEP.
- (c) If the Authority's General Counsel or the IEP have reasonable cause to believe an interested person has failed to disclose an actual or possible conflict of interest, they shall inform the interested person of the basis for such belief and afford him/her an opportunity to explain the alleged failure to disclose.
- (d) After disclosure of the personal financial interest, the General Counsel and the IEP will interview the interested person and conduct whatever investigation is warranted by the disclosure.
- (e) After exercising due diligence, the IEP will report its findings and recommendation to the Ethics Committee. The Ethics Committee will review such findings and recommendations. If the Ethics Committee determines further action should be taken, it will forward the matter to the Board.

Section 5: Standard of Review.

- (a) After exercising due diligence, if the Ethics Committee determines the Authority can obtain an equal or more advantageous transaction or arrangement with reasonable efforts from a person or entity that would not give rise to a conflict of interest, then it will forward the matter to the Board with its recommendation.
- (b) If the Ethics Committee determines an equal or more advantageous transaction or arrangement is not reasonably attainable under circumstances that would not give rise to a conflict of interest, then it will forward the matter for the Board to determine whether the transaction or arrangement should proceed or be terminated. A Board ruling to proceed

shall include a determination that the transaction or arrangement is in the Authority's best interest, is done for its own benefit and is fair and reasonable to the Authority.

ARTICLE IV EMPLOYMENT RESTRICTIONS

Section 1: One-Year Moratorium.

- (a) No person who has served as a member, officer or employee of the Authority shall within a period of one year after the termination of such service or employment appear or practice before the Authority or receive compensation for any services rendered by the member, officer or employee through or on behalf of any person, firm, corporation or association in relation to any case or transaction with respect to which such person was directly concerned, or participated in, during the period of his or her service with the Authority.
- (b) Notwithstanding the foregoing, the one-year moratorium shall not apply to (i) normal business issues arising as a result of the person's status as a water customer of the Authority and (ii) professional services provided by such person pursuant to a written agreement with the Authority, to the extent such agreement is otherwise consistent with this Code of Ethics.

Section 2: Nepotism Policy.

- (a) In no event shall an immediate family member of a member be hired during the term of the member.
- (b) An immediate family member of an ad hoc member, officer, or employee may be considered for a permanent position only if all of the following conditions are met:
 - (1) The ad hoc member, officer, or employee had no role in approving or appointing the immediate family member, pursuant to HR Policy No. 92 (Employment Opportunities Posting and Hiring); and
 - (2) The immediate family member is an appointment from a Civil Service List; or
 - (3) There will be no supervisory relationship between the immediate family member and the related ad hoc member, officer, or employee, and the immediate family member and the related member, ad hoc member, officer, or employee will not work in the same department.

- (c) If current members, ad hoc members, officers, or employees marry, it may be necessary for the Authority to reassign one or both individuals, particularly in the case of close working, or direct supervisory relationships.
- (d) An immediate family member may be considered for summer or temporary employment only if all of the following conditions are met:
 - (1) There will be no supervisory relationship between the immediate family member and the related ad hoc member, officer, or employee; and
 - (2) The immediate family member and the related ad hoc member, officer, or employee will not work in the same department.
- (e) In no event shall a related ad hoc member, officer, or employee participate in any decision to hire, promote, discipline, or discharge an immediate family member.
- (f) The effective date of this section is March 26, 2019. Immediate family members whose date of hire is before May 1, 2018 may continue in their current position or may be promoted despite the provisions set forth in this section.

ARTICLE V IMPLEMENTATION & ENFORCEMENT

Section 1: Distribution.

The Code shall be reviewed annually by the Board and posted on the Authority's website. All members, ad hoc members, officers, and employees shall be given a copy of this Code upon appointment or commencement of employment and thereafter annually.

Section 2: IEP & Ethics Committee.

- (a) The Board designates the ad hoc members of the IEP as its Ethics Officers, who shall report to the Ethics Committee and Board.
- (b) The Ethics Committee shall prepare, review, update, and approve financial disclosure statements to be filed by members, ad hoc members, officers, and designated employees with the IEP.
- (c) The IEP shall have the following duties:

- (1) Interpret and make recommendations with regard to any questions or purported violations of this Code and any statutory ethical standards affecting members, ad hoc members, officers, employees or their immediate family;
 - (2) Counsel in confidence all members, ad hoc members, officers, employees, and their immediate family, who seek advice about ethical behavior;
 - (3) Receive and investigate complaints about possible conflicts of interest and ethics violations;
 - (4) Recommend the dismissal of any complaint found to be without substance;
 - (5) Prepare an investigation report of its findings and recommendations for the Ethics Committee to consider and to recommend such further action be taken by the Board;
 - (6) Record the receipts of gifts or gratuities of any kind, received by any member, ad hoc member, officer, employee or immediate family member, who shall notify the IEP within 48 hours of receipt of such gifts and gratuities.
- (d) Any reports or recommendations made by the IEP must list those ad hoc members who concur or dissent with the report or recommendation.
- (e) Members, ad hoc members, officers, and employees are required to report possible unethical behavior by a member, ad hoc member, officer, or employee to the IEP and the Authority's General Counsel. Such a complaint may be filed anonymously and protects the reporting member, ad hoc member, officer, or employee from retaliation. Any form of retaliation is prohibited under this Code and constitutes an ethical violation of this Code.
- (f) At its discretion, the Ethics Committee may recommend to the Board appropriate disciplinary action, which may include, but is not limited to, a reprimand, suspension or termination. No disciplinary action may be taken without affording the person due process to be heard and to respond to the complaint of unethical behavior. This hearing may also be subject to the applicable provisions, if any, of Civil Service Law § 75 or any applicable provisions of a collective bargaining agreement.

Section 3: Records of Proceedings.

The IEP shall keep records of all proceedings, including:

- (a) Names of the persons who disclosed or otherwise were found to have a personal financial interest in connection with an actual or possible conflict of interest, the nature of the personal financial interest, any action taken to determine whether a conflict of interest was present, and the Board's ruling, if any, as to whether a conflict of interest in fact existed.
- (b) Names of the persons who were present for discussions and votes relating to the transaction or arrangement, the content of the discussion, including any alternatives to the proposed transaction or arrangement, and a record of any votes taken or written rulings made in connection with the matter.

ARTICLE VI

FINANCIAL DISCLOSURE STATEMENTS

Section 1: Erie County Board of Ethics.

- (a) Pursuant to Public Authorities Law § 2825 (3) and Article 18 of the General Municipal Law, members, officers, and designated employees must file an [annual financial disclosure statement](#) with the Erie County Board of Ethics on or before the fifteenth day of May with respect to the preceding calendar year.
- (b) A member, officer, or designated employee who has timely filed an application for automatic six-month extension with the Internal Revenue Service ("IRS") may file a supplemental statement of financial disclosure seven days after the expiration of the six-month automatic extension with the IRS. This six-month extension does not extend the May 15th deadline but does allow an individual to file a supplemental financial statement, correcting any representations made in the initial financial statement.
- (c) The following members, officers, and employees are required to file annual disclosure statements with the Erie County Board of Ethics: Commissioners, the Secretary of the Authority, the Chief Operating Officer, the Chief Financial Officer, the General Counsel, and Executive Engineer.
- (d) The following members, officers, and employees are required to file an [Employee Disclosure](#) Form with the Erie County Board of Ethics within 10 days of appointment: Commissioners, the Secretary of the Authority, the Chief Operating Officer, the Chief Financial Officer, the General Counsel, and Executive Engineer.

Section 2: In-House Financial Disclosure Statements

- (a) The members, ad hoc members, officers, and designated employees are required to file an in-house financial disclosure statement with the

Authority's IEP within ten days of appointment or commencement of employment and thereafter annually.

- (b) In-house financial disclosure statements shall be filed by all members, all employees holding an "exempt" job title, and other employees holding certain job titles:

(1) Exempt Job Titles

- i. Associate Attorney;
- ii. Associate Attorney RPT;
- iii. Chief Financial Officer
- iv. Chief Operating Officer
- v. Comptroller;
- vi. Comptroller (Part time);
- vii. General Counsel
- viii. Executive Engineer;
- ix. Secretary to the Authority.

(2) Designated Job Titles

- i. Administrative Assistant;
- ii. Assistant Business Office Manager;
- iii. Assistant Manager of Accounting Services;
- iv. Automotive Mechanic Crew Chief;
- v. Business Office Manager;
- vi. Cash Manager;
- vii. Chemist and Chief Water Treatment Plant Operator;
- viii. Chief Business Officer Manager-Budget Director;
- ix. Chief Customer Service Representative;
- ~~ix-x.~~ Chief Instrument and Control System Specialist
- ~~x-xi.~~ Claims Representative-Risk Manager;
- ~~xi-xii.~~ Construction Inspector;
- xiii. Coordinator of Employee Relations;
- ~~xii-xiv.~~ Deputy Administrative Director
- ~~xiii-xv.~~ Deputy Associate Attorney;
- ~~xiv-xvi.~~ Deputy Director/Chief Financial Officer;
- ~~xv-xvii.~~ Director of Administration;
- ~~xvi-xviii.~~ Director of Employee Relations;
- ~~xvii-xix.~~ Director of Equal Employment Opportunity (ECWA);
- ~~xviii-xx.~~ Director of Human Resources;
- ~~xix-xxi.~~ Director of Purchasing & Inventory Management;
- ~~xx-xxii.~~ Director of Operations;
- ~~xxi-xxiii.~~ Director of Water Quality;
- ~~xxii-xxiv.~~ Distribution Engineer;
- ~~xxiii-xxv.~~ Electrical Engineer;
- ~~xxiv-xxvi.~~ Employee Benefits Specialist;

~~xxv-xxvii.~~ xxxvii. Manager of Accounting Services;
~~xxvi-xxviii.~~ xxxviii. Municipal Liaison ECWA (Part time);
~~xxvii-xxix.~~ xxxix. Production Engineer;
~~xxviii-xxx.~~ xxx. Production Technician;
~~xxix-xxxi.~~ xxxii. Security Officer (ECWA);
~~xxx-xxxii.~~ xxxiii. Senior Distribution Engineer;
~~xxxii-xxxiii.~~ xxxiv. Senior Micro Technical Support Specialist (ECWA);
~~xxxiii-xxxiv.~~ xxxv. Senior Production Engineer;
~~xxxiv-xxxv.~~ xxxvi. Senior Stores Clerk;
~~xxxv-xxxvi.~~ xxxvii. Any Authority personnel overseeing a bid opening; and
~~xxxvi-xxxvii.~~ xxxviii. Any other position designated by Board resolution.

- (c) The General Counsel or the Independent Ethics Panel may direct any other employee who procures goods and services on the Authority's behalf to file a financial disclosure statement.
- (d) All members, ad hoc members, officers, and designated employees have the ongoing obligation to immediately report any conflict of interest that may arise for them or for any of their immediate family members.
- (e) Members, ad hoc members, officers, and designated employees must annually file an in-house financial disclosure statement with the IEP on or before the fifteenth day of May with respect to the preceding calendar year. In-house financial disclosure statements shall be placed in a sealed envelope and addressed to the Independent Ethics Panel, c/o Legal Department, 295 Main Street, Room 350, Buffalo, New York 14203.
- (f) The Authority shall retain all in-house financial disclosure statements for a period of seven years from the required filing date.

**ERIE COUNTY WATER AUTHORITY
HR Policies/Procedures**

Re:	WHISTLEBLOWER PROTECTION POLICY	Policy No.	16.0
Application:	All Employees	Adopted:	04/03/08
		Amended:	01/26/12 03/24/20

General

The Erie County Water Authority Code of Ethics & Conflict of Interest Policy (Policy No. 11) requires members, ad hoc members, officers and employees to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. As employees and representatives of the Authority, we must practice honesty and integrity in fulfilling our responsibilities and comply with all applicable laws and regulations.

As part of our ethical responsibility, any alleged corruption, fraud, criminal or unethical activity, misconduct, waste, conflict of interest, intentional reporting of false or misleading information, or abuse of authority engaged in by an Authority Employee (as defined herein) that relates to the Authority shall be reported to the appropriate individuals as set forth herein.

Reporting Responsibility

It is the responsibility of all members, ad hoc members, officers and employees to comply with Policy No. 11 Code of Ethics & Conflict of Interest Policy and to report violations or suspected violations in accordance with this Whistleblower Protection Policy.

No Retaliation

No member, ad hoc member, officer or employee who in good faith reports a violation of Policy No. 11 Code of Ethics & Conflict of Interest Policy shall suffer harassment, retaliation or adverse employment consequence. An employee who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment. This Whistleblower Protection Policy is intended to encourage and enable employees and others to raise serious concerns within the Authority prior to seeking resolution outside the Authority.

Reporting Violations

All Authority Employees who discover or have knowledge of potential wrongdoing concerning board members, ad hoc members, officers, or employees of this Authority; or a person having business dealings with the Authority; or concerning the Authority itself, shall report such activity in accordance with the following procedures:

- a) The Authority Employee shall disclose any information concerning wrongdoing either orally or in a written report to his or her supervisor, or to the Authority's General Counsel, the Director of Human Resources or any member of the Independent Ethics Panel.
- b) All Authority Employees who discover or have knowledge of wrongdoing shall report such wrongdoing in a prompt and timely manner.
- c) The identity of the whistleblower and the substance of his or her allegations will be kept confidential to the best extent possible.
- d) Any report of potential wrongdoing shall be investigated and handle the claim in a timely and reasonable manner, which may include referring such information to the Authorities Budget Office or an appropriate law enforcement agency where applicable.
- e) Should an Authority Employee believe in good faith that disclosing information within the Authority pursuant to Section 1(a) above would likely subject him or her to adverse personnel action or be wholly ineffective, the Authority Employee may instead disclose the information to the 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.

Compliance Officials

The Office of the Secretary and the Independent Ethics Panel with assistance from the Authority's Legal Department are responsible for investigating and resolving all reported complaints and allegations concerning violations of Policy No. 11 Code of Ethics & Conflict of Interest Policy and will report, on a confidential basis, all allegations to the Board of Commissioners (the "Board"). The Board has the authority to provide funds for investigations as required.

Acting in Good Faith

Information concerning potential wrongdoing is disclosed in "good faith" when the individual making the disclosure reasonably believes such information to be true and reasonably believes that it constitutes potential wrongdoing.

Confidentiality

Violations or suspected violations may be submitted on a confidential basis by the complainant or may be submitted anonymously. Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation.

Handling of Reported Violations

The Authority's General Counsel, the Director of Human Resources, a Supervisor or any member of the Independent Ethics Panel to whom notice of the reported violation or suspected violation was given will notify the sender and acknowledge receipt of the reported violation or suspected violation within five business days. All reports will be promptly investigated, and appropriate corrective action will be taken if warranted by the investigation.

Employees

All board members, and officers and staff employed at the Authority whether full-time, part-time, employed pursuant to contract, employees on probation and temporary employees shall be considered employees for the purposes of applicability of this policy.



Erie County Water Authority

295 Main Street • Room 350 • Buffalo, NY 14203-2494
716-849-8484 • Fax 716-849-8463

Independent Ethics Panel (IEP)

FINANCIAL DISCLOSURE STATEMENT **For Calendar Year 2020**

Name:

First

Middle

Last

Position:

Business Email:

Business Phone No:

Home Address:

Street

City

Zip

ACKNOWLEDGEMENTS

Please acknowledge the following statements by checking the appropriate boxes.

I hereby acknowledge receiving a copy of Policy No. 11.9, entitled "Code of Ethics & Conflicts of Interest Policy."

I hereby acknowledge reading Policy No. 16.0 (Whistleblower Protection Policy) and Policy 11.9 (Code of Ehtics & Conflicts of Interest Policy).

PLEASE NOTE: If you have any questions regarding Policy No. 11.9 you may email the Independent Ethics Panel (IEP@ecwa.org) or you may contact Associate Attorney Jackie Mattina, at extension 8452 or by email at jmattina@ecwa.org.

I hereby acknowledge that I have complied with the provisions of Policy No. 11.9.

If you have not checked each box in this section, please give an explanation on page 6.

STANDARD OF CONDUCT **(ARTICLE II, § 3)**

Please affirm the following statements by checking the appropriate boxes.

I affirm that I have endeavored and will endeavor to perform the duties of my position to the best of my ability and in a spirit of service to all persons and concerns for which the Erie County Water Authority ("ECWA") was created.

Name:

I affirm that I have upheld and will uphold the high standards of dedicated public service rendered over the years by ECWA members, officers and employees.

I affirm that I have supported and encouraged, and will support and encourage, my fellow employees in the proper execution of their duties.

I affirm that I will seek the advice of the Authority's General Counsel, or the members of the Independent Ethics Panel ("IEP") when I have a question of conduct or about the policy.

I affirm that I have not engaged in, and will not engage in, any conduct, at any time, which suggests or demonstrates I could be improperly or unduly, influenced to violate my public duty or the public trust.

I affirm and acknowledge my duty to immediately report to the Authority's General Counsel or to the IEP Chair gifts of any value, whether in the form of a promise or an offer to give money, services, a loan, or to provide lodgings, meals or entertainment.

I affirm that I have supported and will support the ECWA mission to the fullest, that I manage all matters within the scope of that mission independent of any other affiliations or employment, and that I strive to fulfill my professional responsibility to ECWA.

If you have not checked each box in this section, please give an explanation on page 7.

PROHIBITED CONDUCT

(ARTICLE II, § 4)

Please affirm the following statements by checking appropriate boxes.

PLEASE NOTE: You must review the Vendor List provided to you with this Financial Disclosure Statement before you complete the remaining sections of this form.

I affirm that I have **not**:

Directly or indirectly received any compensation or interest, financial or otherwise, or incurred any obligation, which would be a substantial conflict with the proper discharge of my duties.

Engaged in other employment that might impair the independence of my judgment in the execution of my ECWA duties.

Disclosed confidential information, acquired in the course of my official duties or used such confidential information to further a personal financial interest.

Name:

PLEASE NOTE: Personal financial interest means a financial interest benefiting you or an immediate family member. An immediate family member means any first-degree family member related by blood or marriage. First-degree family members mean parents, step-parents, children, step-children, and siblings, including half- and step-siblings

Directly or indirectly solicited, or accepted or received any gift, whether in the form of a promise, money, services, a loan, lodging, meals, entertainment, or anything of value.

Arranged for the extension of credit or renewed an extension of credit in the form of a personal loan from the Authority.

Unless otherwise permitted by the Independent Ethics Panel or Ethics Committee, I affirm to the best of my knowledge:

No immediate family member has directly or indirectly solicited, accepted, or received any gift, whether in the form of a promise, money, services, a loan, lodging, meals, entertainment, or anything of value.

Neither I nor any member of my immediate family has engaged in speculating or dealing in equipment, supplies or materials normally purchased by ECWA.

Neither I nor any member of my immediate family has borrowed money from ECWA, or any suppliers, significant commercial customers, individuals or firms with whom ECWA does business.

PLEASE NOTE: Loans or mortgages from banks or individuals doing business with the Authority are exempt if the terms are at current rates and the customary collateral for such transactions is provided.

Neither I nor any member of my immediate family has acquired an interest in real estate in which it is known that ECWA also has a current or anticipated interest.

Neither I nor any member of my immediate family has misused information to which I have had access by reason of my position – such as by disclosing confidential information of a technical, financial or business nature to others outside or inside ECWA regardless of whether such information was disclosed for my own interest or the interest of an immediate family member.

Neither I nor any member of my immediate family has solicited funds or other items of value from ECWA vendors, suppliers or consultants.

Neither I nor any member of my immediate family has served as an officer, director or manager with another company or business organization directly or indirectly doing business with ECWA without specific authorization from ECWA.

Neither I nor any member of my immediate family legally represents, or exerts influence in favor of, a current or potential ECWA vendor including, but not limited to, assisting in the drafting of applications, plans or proposals for ECWA approval or submitting such applications, plans or proposals to ECWA.

If you have not checked each box in this section, please give an explanation on page 7.

**CONFLICTS OF INTEREST
(ARTICLE III § 3)**

PLEASE NOTE:

- The questions in this CONFLICT OF INTEREST section do not relate to a domestic or commercial ECWA water customer.
- Answer each question to the best of your knowledge after making a diligent inquiry of immediate family members.
- Any unanswered questions, will be treated as if you answered “Yes.”

Please check “Yes” or “No” to the following questions

YES NO

Do you or an immediate family member, have any ownership or investment interest in an entity with which ECWA does business or has entered into a transaction and/or business arrangement?

Are you or an immediate family member an officer, director, manager, consultant, volunteer, or an independent contractor of any entity or individual having business dealings with ECWA or having engaged in a transaction and/or business arrangement with ECWA?

Do you or an immediate family member hold any position with an entity or individual, doing business with ECWA or otherwise engaged in a transaction and/or business arrangement with ECWA?

Have you or an immediate family member accepted compensation from an entity with which, or individual with whom, ECWA has done any business or has engaged in a transaction and/or business arrangement?

Do you or an immediate family member, through business or investment, have a potential ownership or investment interest with an entity or individual, negotiating a transaction and/or business arrangement with ECWA?

Name:

Do you or an immediate family member, through business or investment, have pending compensation arrangement with an entity or individual, negotiating a transaction and/or business arrangement with ECWA?

PLEASE NOTE:

- Compensation includes direct and indirect remuneration as well as gifts or favors that are substantial in nature.
- A personal financial interest is not necessarily a conflict of interest. No conflict of interest exists where a personal financial interest arises solely from an immediate family member that holds a clerical, ministerial or low-level management position with an existing or potential vendor, lacks the power to influence the relationship between the business and the Authority and did not obtain his or her position as a means to influence a member, ad hoc member, officer, or employee of the Authority.
- A person who has a personal financial interest may have a conflict of interest only if the Board determines that a conflict of interest exists pursuant to the enforcement and hearing procedures set forth in Article V, § 2 of Policy No. 11.9.

If you have answered “Yes” or failed to answer any question in this section, please give an explanation on page 7.

IF YOU ARE AN ATTORNEY LICENSED TO PRACTICE LAW IN THE STATE OF NEW YORK, PLEASE ANSWER THE FOLLOWING QUESTIONS:

YES NO

If you have a private practice, do you represent any county, city, town or village (i.e. municipal corporation) or any Indian nation or tribe?

If yes, please list which municipal corporation(s) and/or Indian nation(s) or tribe(s) you represent:

NEPOTISM POLICY

(ARTICLE IV § 2)

Please check “Yes” or “No” to the following questions

YES NO

Have any of your immediate family members worked for ECWA during the 2020 calendar year?

If you answered “Yes,” please answer the following:

YES NO

Did you have any role in approving or appointing an immediate family member to a position with ECWA?

Was the immediate family member appointed from a Civil Service list?

Do you directly supervise an immediate family member?

Is an immediate family member supervised by someone over whom you have direct or indirect supervision?

Does an immediate family member work in the same department as you?

Please list the names of any immediate family member who works or worked for ECWA in calendar year 2020.

ADDITIONAL INFORMATION

If necessary, you may attach additional pages

Acknowledgement Section:

Standard of Conduct Section:

Prohibited Conduct Section:

Conflicts of Interest Section:

**ERIE COUNTY BOARD OF ETHICS
(ARTICLE VI§ 1)**

If you are a Commissioner, the Secretary of the Authority, the Chief Operating Officer, the Chief Financial Officer, General Counsel or Executive Engineer, please answer the following question.

Please check “Yes” or “No” to the following questions

YES NO

Have you filed with the Erie County Board of Ethics the Annual Statement of Financial Disclosure for the County of Erie for Calendar Year 2020?

Please indicate the date you filed:

Return this Financial Disclosure Statement by May 15, 2021.

I affirm, under penalty of perjury, all information in this financial disclosure statement is true to the best of my knowledge.

Date

Signature

Acknowledgment

I, _____, received the letter, dated April 1, 2021 from the Independent Ethics Panel (IEP), along with a copy of the 2020 ECWA Financial Disclosure Statement, Policy No. 16.0 (Whistle-blower Protection Policy, and Policy No. 11.9 (Code of Ethics & Conflicts of Interest Policy).

I affirm, under penalty of perjury, that I have reviewed and read the materials provided to me with this Acknowledgment.

Employee Signature _____ Date _____

Print Name: _____

For your convenience, this Financial Disclosure Statement may be filled out electronically but requires an original signature for submission. Please submit your statement in a sealed envelope to the Independent Ethics Panel, c/o Legal Department, 295 Main Street, Room 350, Buffalo, New York 14203. Your name must be placed on the outside of the sealed envelope. All envelopes will be time-stamped when received. Envelopes will be open by members of the Independent Ethics Panel.

For IEP Use Only

Reviewed by: _____ Date Reviewed: _____ Needs Follow-Up: ____ Date Approved by IEP: _____

VENDOR ANALYSIS - PAID IN 2020

VENDOR LIST FOR 2020

VEN NO	VENDOR NAME	TOTAL
V0771	540 TECHNOLOGIES	9,000.00
V7867	716 SITE CONTRACTING, INC.	2,071,403.70
V3313	A M CARPET SERVICE INC	1,203.67
V8732	ABRAXIS, LLC	1,677.00
V3291	ABSOLUTE STANDARDS INC	3,535.00
V0067	ACME BEARINGS CORP	7,521.18
V3216	ADMAR SUPPLY CO INC	30,503.93
V8736	ADVANCE AUTO PARTS PROFESSIONAL	4,627.98
V8737	AIRGAS USA, LLC	5,897.20
V3329	ALTERNATIVE INFORMATION SYSTEMS INC	5,727.76
V3143	AMERICAN LUBRICANTS INC	2,637.95
V3219	AMERICAN ROCK SALT CO LLC	5,374.42
V7578	AMERICAN SHORING INC	1,256.00
V3331	AMREX CHEMICAL CO INC	1,306.80
V0445	ANALYTICAL WEST, INC.	790.00
V1681	ANDERSON EQUIPMENT COMPANY	141,661.54
V3071	ANIXTER INC.	1,727.00
V3441	AP PROFESSIONALS OF WNY, LLC	24,293.84
V3332	APPLIED SPECIALTIES INC	67,278.17
V3407	ARCADIS U.S.,INC.	1,125,964.00
V3172	ASHLAND PEST CONTROL INC	2,426.00
V3238	AUTOMATECH INC - GE FANUC	46,076.14
V3278	AVAYA INC	39,110.88
V0102	A-VERDI LLC	5,230.50
V3418	AVIAT US, INC.	50,169.80
V3443	AZUGA INC	725.00
V3959	BARCLAY DAMON, LLP	31,239.20
V3790	BARTON & LONGUIDICE	54,945.00
V0289	BASIL FORD INC (QUICK LANE TIRE & AUTO)	28,049.10

VENDOR ANALYSIS - PAID IN 2020

VEN NO	VENDOR NAME	TOTAL
V3864	BENTLEY SYSTEMS INC	7,122.60
V0115	BIEL'S INFORMATION TECH SYSTEMS	522.38
V3657	BISON LABORATORIES INC	6,724.00
V3699	BLACKBURN MANUFACTURING CO	4,280.71
V0155	BLAIR SUPPLY CORPORATION	25,756.66
V3814	BOBCAT COMPANY	9,824.18
V3674	BOBCAT OF BUFFALO	1,710.67
V3982	BRENNTAG LUBRICANTS NORTHEAST	4,617.00
V0191	BUFFALO ENVELOPE INC	1,258.18
V0249	BUFFALO MEDICAL GROUP PC	2,000.00
V3965	BXI CONSULTANTS	8,694.10
V8612	C R M CONTRACTING INC	23,120.17
V9707	C S BUSINESS SYSTEMS, INC	302,128.52
V8432	CALERO SOFTWARE, LLC	857.33
V2838	CAPPELLINO CHEVROLET	150,143.76
V0467	CARAHSOFT TECHNOLOGY CORPORATION	5,035.75
V0466	CAROLINA BIOLOGICAL SUPPLY COMPANY	35,000.00
V8641	CARUS CORPORATION	57,524.06
V2593	CATCO	3,065,005.62
V2532	CDW GOVERNMENT	101,586.42
V2821	CHA CONSULTING, INC	274,271.96
V2817	CHARLES CIEHOMSKI WESTERN NEW YORK WATER	1,750.00
V0418	CHAYBAN-YASMINE TAILORS INC	3,644.12
V0494	CHILD & FAMILY SERVICES	3,535.20
V0426	CHUDY PAPER COMPANY, INC.	2,680.55
V2604	CINTAS CORPORATION - SAFETY TRAINING	26,833.08
V2811	CLARK PATTERSON LEE	297,836.71
V8814	CLEARVIEW MAINTENANCE CORP	2,000.00
V0302	CMH COMPANY INC	1,836,849.34
V0332	COLLINS NIAGARA	616.40
V0322	COMMERCIAL PIPE & SUPPLY CORP	1,610.18
V2816	CONSTRUCTION CRAFT ACADEMY	16,538.65
V7962	CORE & MAIN LP	66,224.44

VENDOR ANALYSIS - PAID IN 2020

VEN NO	VENDOR NAME	TOTAL
V0331	CORPORATE SCREENING & INVESTIGATIVE GRP	3,851.50
V0346	CORR DISTRIBUTORS INC	12,307.95
V0347	COUNTY LINE STONE CO INC	413,063.54
V8631	CSEA EMPLOYEE BENEFIT FUND	136,295.64
V8842	CYCLOPS PROCESS EQUIPMENT	8,447.00
V0528	DELACY FORD INC	139,811.58
V0569	DESIGN WORKS LLC	4,406.03
V4811	DIDONATO ASSOCIATES PE PC	145,716.75
V0520	DIVAL SAFETY EQUIPMENT INC	23,119.34
V4456	DJM CONTRACTING, INC.	1,184,426.94
V4821	DLT SOLUTIONS, LLC	7,258.05
V4452	DN TANKS INC.	5,190,037.29
V0508	DOBMEIER JANITOR SUPPLY INC	4,494.51
V4628	DOUBLE EAGLE EMBROIDERY	2,248.80
V2221	DOWD BATTERY CO INC	9,966.36
V4844	DRESCHER & MALECKI LLP	29,842.00
V4759	DUNN TIRE	2,013.16
V4459	DWYER INSTRUMENTS INC.	913.01
V0700	E & R GENERAL CONSTRUCTION INC	1,948,068.28
V2405	E 3 COMMUNICATIONS INC	81,645.58
V2134	E.H.WACHS COMPANY	18,833.84
V2422	EASTCOM ASSOCIATES INC	4,588.00
V5187	EATON CORPORATION	17,035.44
V0601	EATON OFFICE SUPPLY CO INC	7,525.42
V0609	ECOLOGY AND ENVIRONMENT INC	19,750.00
V5159	EDS TIRE SERVICE INC	5,194.50
V1903	ELLICOTT GROUP LLC	269,534.77
V2486	ENVIROLUTIONS, LLC	116,791.00
V0615	ERB CO INC	4,479.11
V5158	ERDMAN ANTHONY AND ASSOCIATES INC	199,358.36
V6880	EUROFINS EATON ANALYTICAL, INC.	6,330.00
V2498	EVERBRIDGE INC.	43,618.29
V4121	EVERETT J PRESCOTT INC	61,226.33

VENDOR ANALYSIS - PAID IN 2020

VEN NO	VENDOR NAME	TOTAL
V8108	EVOQUA WATER TECHNOLOGIES LLC(*USE #17)	5,218.68
V8310	F.W. WEBB CO. -WATERWORKS	3,750.68
V0786	FASTENAL COMPANY	79,877.19
V5274	FERGUSON ELECTRIC CONSTRUCTION CO INC	396,476.29
V5279	FERGUSON ELECTRIC SERVICE CO INC	846,017.70
V5350	FERRELLGAS LP	1,374.62
V3063	FERRY INC	1,254.30
V5387	FIRSTLIGHT	326,573.12
V0708	FISHER SCIENTIFIC COMPANY	32,451.87
V1318	FIVE STAR EQUIPMENT INC	4,280.90
V2015	FLEETPRIDE(UNIVERSAL JOINT SALES CO INC)	523.64
V0721	FLUID KINETICS INC	84,653.00
V5299	FLUKE ELECTRONIC CORP	4,480.00
V5228	FM COMMUNICATIONS INC	5,573.00
V1220	FRANK P LANGLEY CO INC	1,722.00
V0723	FREDERICK MACHINE REPAIR INC	43,228.86
V5254	FRONTIER GLASS	710.00
V5427	GALLAGHER PRINTING INC	744.72
V5588	GEITER DONE OF WNY, INC.	265,655.00
V0856	GENUINE PARTS COMPANY	48,597.74
V2842	GETGO, INC.	2,340.00
V5577	GHD CONSULTING ENGINEERS, LLC	557,550.00
V5596	GLOBAL KNOWLEDGE TRAINING, LLC	2,696.25
V5697	GLOBAL SIGNAL ACQUISITIONS LLC	8,530.10
V0838	GOODYEAR SERVICE STORES	52,526.41
V5520	GOVERNMENT SCIENTIFIC SOURCE INC	716.91
V0819	GRAYBAR ELECTRIC COMPANY INC	391,447.35
V5536	GREENMAN - PEDERSON,INC	176,333.11
V0817	GROVE ROOFING SERVICES INC	16,318.53
V7970	H & K SERVICES INC	173,938.00
V0934	HACH COMPANY	295,026.58
V7042	HANES SUPPLY INC	15,610.24
V7945	HARRINGTON PLASTICS	652.92

VENDOR ANALYSIS - PAID IN 2020

VEN NO	VENDOR NAME	TOTAL
V0990	HARRIS BEACH PLLC	6,687.71
V0989	HAZEN AND SAWYER	9,571.50
V0980	HEALTH PRODUCTS FOR YOU	960.04
V7045	HEALTHWORKS-WNY LLP	18,730.47
V0935	HEAVY DUTY PARTS INC	976.50
V3054	HELPSYSTEMS, LLC	7,066.40
V4015	HENRY PRATT COMPANY	100,180.00
V0988	HIGH PURITY STANDARDS LLC	815.60
V0962	HI-TECH SERVICES INC	426,529.00
V7067	HOHL INDUSTRIAL SERVICES INC	15,800.00
V0977	HYDROVERGE	4,085.84
V5822	IDEXX DISTRIBUTION INC	86,657.75
V5929	INDUSTRIAL SCIENTIFIC	21,741.96
V5915	INFORMATION MANAGEMENT SERVICES	5,229.00
V5928	INTERLINK NETWORK SYSTEM, INC.	5,000.00
V5344	INTERNATIONAL SPRING CORP	999.97
V1009	IRISH CARBONIC & WELDING CORP	4,067.94
V5905	IRON MOUNTAIN INFORMATION MANAGEMENT INC	20,886.78
V5936	IRTH SOLUTIONS, LLC	11,944.92
V0999	ISCO INDUSTRIES INC	6,334.00
V0998	IV LABS INC	841.14
V6118	J J KELLER & ASSOC INC	1,990.00
V6069	JACKSON WELDING & GAS PRODUCTS	4,675.93
V1056	JAMESTOWN COMMUNITY COLLEGE	1,210.00
V6021	JEM ENTERPRISES	10,930.00
V0255	JOE BASIL CHEVROLET INC	6,074.04
V7335	JOHN H RING IV	14,800.00
V4931	JOHNSON CONTROLS	190,446.15
V1062	JOHNSON CONTROLS, INC	52,914.15
V1053	JONES CHEMICALS INC	537,354.90
V1739	JOSEPH L RANDAZZO	1,950.00
V1101	K & S CONTRACTORS SUPPLY INC	700,377.76
V1102	KAMAN AUTOMATION INC.	30,183.57

VENDOR ANALYSIS - PAID IN 2020

VEN NO	VENDOR NAME	TOTAL
V6231	KAMCO BUFFALO	1,543.27
V6126	KAMINSKI & SONS TRUCK EQUIPMENT	11,211.26
V1121	KANDEY COMPANY INC	2,134,193.56
V6209	KEMIRA WATER SOLUTIONS INC	484,009.68
V6205	KENWORTH NORTHEAST GROUP, INC.	142,607.38
V6190	KINSLEY POWER SYSTEMS	3,988.35
V6179	KLEIN STEEL SERVICE, INC.	530.00
V1168	KONE INC	27,850.00
V0462	KOOLTRONIC, INC.	10,333.46
V1158	KRACKELER SCIENTIFIC INC	5,314.33
V6162	KRAVITCH MACHINE COMPANY	6,237.45
V6198	KRONOS, INC.	2,140.34
V1138	KURK FUEL COMPANY	87,372.43
V1254	LABELLA ASSOCIATES DPC	107,913.52
V6449	LABOR-MANAGEMENT HEALTHCARE FUND	4,220,122.26
V6401	LAKELANDS CONCRETE PRODUCTS INC	33,445.00
V6426	LAMB & WEBSTER INC	536.99
V1226	LANCASTER PEACH LLC	4,404.40
V1221	LAWLEY SERVICE INC	1,126,805.94
V6245	LAWSON PRODUCTS, INC.	3,501.01
V6493	LEDGE CREEK DEVELOPMENT INC	1,523,547.38
V6335	LEXMARK INTERNATIONAL INC	1,030.50
V3355	LINEAGE	616.53
V6405	LINEMENS SUPPLY INC	1,050.39
V1214	LOCK CITY SUPPLY INC	745,676.39
V6404	LUDECA INC	8,514.40
V6752	M K S PLUMBING CORP	3,619.53
V6735	MAP WORKS INC	898.80
V2832	MARK CERRONE INC	24,084.41
V2207	MARS COMPANY	9,994.00
V6990	MASIELLO, MARTUCCI, CALABRESE & ASSOC.	65,000.00
V6513	MATRIX IMAGING SOLUTIONS, INC	90,120.37
V6804	MCCARTHY TIRE SERVICE CO.	3,641.84

VENDOR ANALYSIS - PAID IN 2020

VEN NO	VENDOR NAME	TOTAL
V1258	MCMAHON & MANN CONSULTING ENGINEERING	80,956.71
V6996	METRO CONTRACTING & ENVIRONMENTAL INC	29,039.79
V6876	MICROBAC LABORATORIES INC	624.00
V6966	MICROSOFT AZURE	70,273.18
V6518	MIDTOWN TIRE INC	5,556.28
V6811	MIDWAY INDUSTRIAL SUPPLY	6,586.35
V4908	MILTON-CAT	252,260.90
V6666	MODERN DISPOSAL SERVICES INC	162,289.20
V6645	MOLLENBERG - BETZ INC	204,293.07
V6864	MSC INDUSTRIAL SUPPLY CO INC	19,349.08
V5995	MUTUAL OF OMAHA	29,975.82
V8506	NATIONAL OVERHEAD DOOR INC	15,051.83
V1403	NEPTUNE TECHNOLOGY GROUP INC	1,488,863.00
V4512	NEW FRONTIER EXCAVATING & PAVING, INC	2,505,938.61
V1424	NUSSBAUMER & CLARKE INC	537,369.22
V5600	OBRIEN & GERE ENGINEERS INC	24,570.00
V5606	OCCUPATIONAL SAFETY & ENVIRONMENTAL ASSC	2,625.00
V4138	P&A ADMINISTRATIVE SERVICES INC	2,516.80
V2417	PACE ANALYTICAL SERVICES INC	680.00
V6981	P-A-M CONSULTING SERVICE, INC.	695.00
V6979	PCM GOV INC.	2,670.00
V7175	PENN POWER SYSTEMS	2,708.46
V1610	PERTECH	47,477.04
V8361	PHENOVA INC	23,736.00
V7181	PHILADELPHIA MIXERS	12,515.96
V1586	PHILIPPS BROS SUPPLY INC	31,754.31
V4069	PINTO CONSTRUCTION SERVICES INC	384,152.92
V7170	PIONEER PUMP SYSTEMS INC	2,024.00
V1559	POLLARDWATER	8,754.49
V1560	POOLEY, INC.	2,629.80
V1326	PRAXAIR DISTRIBUTION INC	2,414.13
V7189	PRECISION SCALE	4,478.21
V6947	PRO BUSINESS SUPPLY	2,759.00

VENDOR ANALYSIS - PAID IN 2020

VEN NO	VENDOR NAME	TOTAL
V0397	PROMOCHROM TECHNOLOGIES LTD	34,700.00
V1649	PYRAMID SCHOOL PRODUCTS	1,488.32
V1699	QUADIENT INC	2,339.40
V7870	QUALITY PC TRAINING	1,920.00
V8114	R.B. U'REN EQUIPMENT INC.	31,478.50
V1666	R.M. HEADLEE CO., INC	11,779.00
V7213	RAF SUPPLY INC	3,830.40
V7226	RAFTELIS ENVIRONMENTAL CONSULTING GROUP	63,221.25
V7319	RAZ-LEE SECURITY	3,600.00
V5046	RED WING SHOES	4,145.91
V7278	REGIONAL DISTRIBUTORS INC	891.30
V7133	REGIONAL INTERNATIONAL OF WNY INC	18,396.93
V7249	REXEL INC (FORMERLY WEHLE ELECTRIC)	2,635.00
V1014	RICOH PRODUCTION PRINT SOLUTIONS LLC	27,691.67
V8096	RICOH USA INC(FORMERLY IKON OFFICE)	13,737.27
V5055	RITEC	67,100.00
V1668	RIVERSIDE CHEMICAL COMPANY INC	5,741.32
V7332	RMF PRINT MANAGEMENT GROUP INC	970.69
V1685	ROBERT-JAMES SALES INC	7,512.64
V5042	ROSEMOUNT INC	46,608.88
V1671	ROSS VALVE MANUFACTURING CO INC	46,821.38
V7320	ROUTE 5 BOOTS & SHOES	5,995.90
V1683	RUSINIAKS SERVICE INC	2,306.25
V7286	RUSSO DEVELOPMENT INC	2,539,773.53
V4998	SAFELITE GLASS CORP	4,411.52
V7547	SAFETY-KLEEN SYSTEMS INC	961.18
V4988	SAF-GARD SAFETY SHOE COMPANY	4,354.85
V1751	SCHAEFER PLUMBING SUPPLY CO INC	5,380.00
V1818	SCHUELE PAINT COMPANY INC	7,080.00
V1791	SEALING DEVICES INC	4,909.14
V7856	SEON SYSTEM SALES, INC.	935.00
V7560	SHANOR ELECTRIC SUPPLY COMPANY, INC	2,657.25
V7749	SHARE CORP	1,038.75

VENDOR ANALYSIS - PAID IN 2020

VEN NO	VENDOR NAME	TOTAL
V4992	SHI INTERNATIONAL CORP	26,133.45
V8188	SHIMADZU SCIENTIFIC INSTRUMENTS INC	32,861.98
V8179	SIEMENS INDUSTRY INC	91,295.83
V7876	SIENNA ENVIRONMENTAL TECHNOLOGIES, LLC	4,948.00
V1858	SIEWERT EQUIPMENT COMPANY, INC	280,404.00
V4963	SIMMERS CRANE DESIGN & SERVICES CO.	5,297.78
V4968	SIRIUS COMPUTER SOLUTIONS INC	257,483.65
V7864	SKYWORKS, LLC	10,611.75
V4953	SLACK CHEMICAL COMPANY INC	11,313.84
V1763	SNAP-ON TOOLS CORPORATION	2,500.33
V7873	SOUTHTOWN SUPPLY INC.	16,724.00
V0287	STANLEY CONVERGENT SECURITY SOLUTION INC	43,172.97
V7816	STEELCASE	6,871.28
V6583	STT SERVICES, INC.	558.89
V7880	SUBCARRIER COMMUNICATIONS INC.	19,320.20
V6566	SUN LIFE FINANCIAL	76,658.90
V1853	SUPERIOR LUBRICANTS CO INC	6,110.20
V6767	T. MINA SUPPLY, INC.	8,295.80
V8483	TESSCO INCORPORATED	7,579.88
V8177	TESTAMERICA LABORATORIES INC	6,062.50
V4101	THE PUMP DOCTOR INC	6,373.04
V8168	THE SAFETY & HEALTH TRAINING CENTER INC	7,945.00
V1795	THE STATE INSURANCE FUND	1,745,234.11
V1983	THERMO ELECTRON NORTH AMERICA LLC	622,484.72
V5374	THOMPSON PIPEGROUP PRESSURE, INC.	118,945.56
V1961	THRUWAY FASTENERS INC	1,600.00
V2778	THYSSENKRUPP ELEVATOR CORP.	6,600.00
V8480	TI-SALES INC	136,466.33
V2738	TOSHIBA INTERNATIONAL CORPORATION	93,945.52
V8496	TOTAL PIPING SOLUTIONS INC	43,747.67
V2777	TRACEY ROAD EQUIPMENT	61,490.00
V9095	TRANSWAVE COMMUNICATIONS SYSTEMS INC	21,825.00
V2019	UNITED BUSINESS SYSTEMS	2,494.42

VENDOR ANALYSIS - PAID IN 2020

VEN NO	VENDOR NAME	TOTAL
V8145	UNIVAR USA INC	128,955.68
V4623	US TRAFFIC CONTROL, INC.	208,734.25
V8131	USA BLUEBOOK	4,772.09
V8410	VALLEY FAB AND EQUIPMENT INC	12,588.50
V2073	VISION SERVICE PLAN	20,818.05
V2062	VOLLAND ELECTRIC EQUIPMENT CORP	23,785.73
V0815	W W GRAINGER INC	264,857.83
V6507	W.B.MASON CO.,INC.	10,796.37
V8322	WATSON-MARLOW INC.	62,090.75
V8381	WAYPOINT TECHNOLOGY GROUP	13,535.20
V4647	WDC EAST, LLC	1,532.01
V8336	WENDEL	387,638.74
V2117	WESCO DISTRIBUTION, INC.	12,075.09
V2143	WESTERN NEW YORK WATER WORKS CONFERENCE	775.00
V4654	WEST-HERR DODGE	2,901.81
V7722	WM SCHUTT & ASSOCIATES PC	534,257.88
V4667	WSE-LAB	7,030.00
V5554	XYLEM, INC	102,238.43
V2219	YELLOW TRANSPORTATION INC YRC	1,101.40
V8703	ZEND TECHNOLOGIES INC	7,612.00
V2297	ZENGER GROUP	634.06



Erie County Water Authority

295 Main Street • Room 350 • Buffalo, NY 14203-2494
716-849-8484 • Fax 716-849-8463

Independent Ethics Panel

Maureen Krause, Ad Hoc Member
Raymond Herman, Ad Hoc Member

TO: Applicable ECWA Members, Officers and Employees

FROM: Independent Ethics Panel

DATED: April 1, 2021

RE: 2020 ECWA Financial Disclosure Statement

As part of the Erie County Water Authority's Code of Ethics Policy, revised on March 25, 2021, you are required to file an in-house financial disclosure statement with the Authority's Independent Ethics Panel within ten days of appointment or commencement of employment and thereafter annually. In that regard, enclosed please find the following:

1. Policy No 11.9 - Code of Ethics & Conflict of Interest Policy, revised on March 25, 2021.
2. Policy No. 16.0 – Whistleblower Protection Policy
3. 2020 ECWA Financial Disclosure Statement, with a PDF fillable form available online for you to complete, print and sign.
4. 2020 ECWA Vendor List

PLEASE NOTE: If you have any questions regarding Policy No. 11.9, you may email the Independent Ethics Panel (IEP@ecwa.org) or you may contact Associate Attorney Jackie Mattina, by leaving a message at extension 8452 or by email at jmattina@ecwa.org. If you leave a voice message, please give your name, phone number and the best time to return your call.

**You are required to return your completed
2020 ECWA Financial Disclosure Statement no later than May 15, 2021.**

Enclosed please find a return envelope in which you are to place and seal your **completed, signed financial disclosure statement.** Please return the financial disclosure statement in the sealed envelope and return it to work, or mail and postmark it no later than May 14, 2021 to the **Independent Ethics Panel, c/o Legal Department, 295 Main Street, Room 350, Buffalo, New York 14203.** All envelopes will be time-stamped when received.

Good Morning:

As part of the Erie County Water Authority's Code of Ethics Policy, revised on March 25, 2021, you are required to file an in-house financial disclosure statement with the Authority's Independent Ethics Panel within ten days of appointment or commencement of employment and thereafter annually. In that regard, attached please find the following:

1. [Policy No 11.9 - Code of Ethics & Conflict of Interest Policy](#), revised on March 25, 2021.
2. [Policy No. 16.0 – Whistleblower Protection Policy](#)
3. [2020 ECWA Financial Disclosure Statement](#), a PDF fillable form that can be completed on your computer, then printed and signed.
4. [2020 ECWA Vendor List](#)

PLEASE NOTE: If you have any questions regarding Policy No. 11.9, you may email the Independent Ethics Panel (IEP@ecwa.org) or you may contact Associate Attorney Jackie Mattina, by leaving a message at extension 8452 or by email at jmattina@ecwa.org. If you leave a voice message, please give your name, phone number and the best time to return your call.

**You are required to return your completed
2020 ECWA Financial Disclosure Statement no later than May 15, 2021.**

You will be mailed at your home a hard copy of this paperwork together with an envelope in which you are to place your **completed, signed financial disclosure statement**. Please seal your financial disclosure statement in the enclosed envelope, then either return it to work or mail and postmark it no later than **May 14, 2021** to the **Independent Ethics Panel, c/o Legal Department, 295 Main Street, Room 350, Buffalo, New York 14203**. All envelopes will be time-stamped when received.

Thank you.

INDEPENDENT ETHICS PANEL

Maureen Krause, Ad hoc Member
Raymond Herman, Ad Hoc Member