

SUBJECT: LOBBYING CONTACTS

1.0 SCOPE

In furtherance of the Authority's commitment to ensure transparency and accountability of its operations, this Policy sets forth the Authority's program for recording lobbying contacts in compliance with the requirements of the New York Public Authorities Law.

This Policy establishes measures to create and maintain records of any attempt by a lobbyist to influence: (a) the adoption or rejection of any rule or regulation by the Authority, and/or (b) the outcome of any ratemaking proceeding by the Authority.

2.0 IMPLEMENTATION

This Policy shall be adhered to by all employees, officers and trustees of the Authority. Implementing procedures shall be prepared as necessary to provide appropriate guidance in meeting the management controls described. Recommendations for changes to this Policy or a new corporate policy shall be processed in accordance with CP1-1 "Corporate Policy Program Administration.

3.0 MANAGEMENT CONTROLS

3.1 General

3.1.1 This Policy implements the requirements of Public Authorities Law ("PAL") § 2987. The Authority has established this Policy to ensure a record is made and maintained by the Authority of any and all communication between a lobbyist engaged in lobbying and employees, officers or trustees who can make or influence a decision on behalf of the Authority regarding: (a) the adoption or rejection of any rule or regulation by the Authority, or (b) the outcome of any ratemaking proceeding by the Authority.

3.1.2 The Corporate Secretary is designated as the officer to whom all records of lobbying contacts shall be delivered and maintained. A contemporaneous record of the contact shall be recorded on a form prescribed by the Corporate Secretary.

3.2 Definitions

- 3.2.1** “Contact” shall mean any conversation, in person or by telephonic or other remote means, or correspondence between any lobbyist engaged in the act of lobbying and any employee, officer or trustee within the Authority who can make or influence a decision on the subject of the lobbying on behalf of the Authority.
- 3.2.2** “Lobbying” shall mean any attempt to influence: (a) the adoption or rejection of any rule or regulation by the Authority, and/or (b) the outcome of any ratemaking proceeding by the Authority.
- 3.2.3** “Lobbyist” shall mean every person or organization retained, employed or designated by any client to engage in lobbying. “Lobbyist” does not include any officer, director, trustee, employee, counsel or agent of the state, or of any municipality or subdivision of New York State, when such persons are discharging their official duties. However, officers, directors, trustees, employees, counsels, or agents of colleges as defined by New York Education Law § 2(2) are considered lobbyists for purposes of PAL § 2987.

3.3 Responsibilities

- 3.3.1** The Corporate Secretary shall prescribe a form to be used by all employees, officers and trustees to record lobbying contacts pursuant to PAL § 2987.
- 3.3.2** An employee, officer or trustee who is contacted by a lobbyist shall make a contemporaneous record of such contact on the form prescribed by the Corporate Secretary, including the day and time of the contact, the identity of the lobbyist and a summary of the substance of the contact. The employee, officer or trustee shall notify and deliver the completed form to the Corporate Secretary.
- 3.3.3** Upon receipt of a record of contact, the Corporate Secretary shall maintain or cause to be maintained such record for a period of not less than seven (7) years in a filing system that is indexed or otherwise organized in a manner in which such records are readily identifiable and referenced to Authority decisions regarding (a) the adoption or rejection of any rule or regulation by the Authority and (b) the outcome of any ratemaking proceeding by the Authority.



4.0 REFERENCES

- 4.1 CP 1-1 Corporate Policy Program Administration
- 4.2 New York Public Authorities Law § 2987
- 4.3 New York Education Law § 2(2)

A handwritten signature in black ink, appearing to read 'D. M. ...' followed by a large, stylized flourish.

President and Chief Executive Officer