

ETHICS CODE of the VILLAGE OF MILLBROOK

1. Purpose and Intent.

Pursuant to the provisions of Section 806 of the General Municipal Law, the Board of Trustees of the Village of Millbrook recognize that there are rules of ethical conduct for public officers and employees which must be observed if a high degree of moral conduct is to be obtained and if public confidence is to be maintained in our unit of local government. It is the purpose of this chapter to promulgate these rules of ethical conduct for the officials and employees of the Village of Millbrook. The rules of ethical conduct of this chapter, as adopted, shall not conflict with, but shall be in addition to any prohibition of Article 18 of the General Municipal Law or any other special law relating to ethical conduct and interest in contracts of municipal officers and employees.

2. Definitions.

When used in this chapter and unless otherwise expressly stated or unless the context otherwise requires, the following terms shall have the meanings indicated:

- (a) **“Board”** means the Village of Millbrook Board of Trustees and any other Village administrative boards such as the Millbrook Village Planning Board, Millbrook Village Zoning Board of Appeals or any other agency or body comprised of two or more Village officers or employees.
- (b) **“Chief Fiscal Officer”** is a comptroller, commissioner of finance, director of finance or any other officer municipal employee possessing similar powers and duties.
- (c) **“Code”** means this code of ethics.
- (d) **“Interest”** means a direct or indirect financial material benefit but does not include any benefit arising from the provision or receipt of any services generally available to the residents or taxpayers of the Village of Millbrook or a lawful class of such residents or taxpayers.
- (e) **“Municipality”** means the Village of Millbrook. The word municipal refers to the municipality.
- (f) **“Municipal Officer or Employee”** means a paid or unpaid officer or employee of the Village of Millbrook, including but not limited to the members of any municipal board, commission or other agency thereof.
- (g) **“Relative”** means a spouse, parent, step-parent, sibling, sibling’s spouse, child, uncle, aunt, nephew, niece, first cousin, or household member of a municipal officer or employee, and individuals having any of these relationships to the spouse of the officer or employee.

3. ADOPTION OF CODE

Adoption of this Code of Ethics by the Village of Millbrook Board of Trustees is intended to be a revision of the Code of Ethics adopted in December 1970 in accordance with Article 18 of the General Municipal Law.

4. Applicability

This code of ethics applies to the officers and employees of the Village of Millbrook and shall supersede any prior municipal code of ethics. The provisions of this code of ethics shall apply in addition to all applicable State and Local laws relating to conflicts of interest and ethics including, but not limited to, Article 18 of the General Municipal Law and all rules, regulations, policies and procedures of the Village of Millbrook.

5. Prohibition on use of municipal position for personal or private gain.

No municipal officer or employee shall use his or her municipal position or official powers and duties to secure a financial or material benefit for himself or herself, a relative, or any private organization in which he or she is deemed to have an interest.

6. Disclosure of interest in legislation and other matters.

- (a) Whenever a matter requiring the exercise of discretion comes before a municipal officer or employee, either individually or as a member of a board, and disposition of the matter could result in a direct or indirect financial or material benefit to himself or herself, a relative, or any private organization in which he or she is deemed to have an interest, the municipal officer or employee shall disclose in writing the nature of the interest.
- (b) The disclosure shall be made when the matter requiring disclosure first comes before the municipal officer or employee, or when the municipal officer or employee first acquires knowledge of the interest requiring disclosure, whichever is earlier.
- (c) In the case of a person serving in an elective office, the disclosure shall be filed with the governing board of the municipality. In all other cases, the disclosure shall be filed with the person's supervisor or, if the person does not have a supervisor, the disclosure shall be filed with the municipal officer, employee or board having the power to appoint to the person's position. In addition, in the case of a person serving on a municipal board, a copy of the disclosure shall be filed with the board. Any disclosure made to a board shall be made publicly at a meeting of the board and must be included in the minutes of the meeting.

7. Recusal and abstention.

(a) No municipal officer or employee may participate in any decision or take any official action with respect to any matter requiring the exercise of discretion, including discussing the matter and voting on it, when he or she knows or has reason to know that the action could confer a direct or indirect financial

or material benefit on himself or herself, a relative, or any private organization in which he or she is deemed to have an interest.

(b) In the event that this section prohibits a municipal officer or employee from exercising or performing a power or duty:

(1) if the power or duty is vested in a municipal officer as a member of a board, then the power or duty shall be exercised or performed by the other members of the board; or

(2) if the power or duty that is vested in a municipal officer individually, then the power or duty shall be exercised or performed by his or her deputy or, if the officer does not have a deputy, the power or duty shall be performed by another person to whom the officer may lawfully delegate the function.

(3) if the power or duty is vested in a municipal employee, he or she must refer the matter to his or her immediate supervisor, and the immediate supervisor shall designate another person to exercise or perform the power or duty.

8. Prohibition inapplicable; disclosure, recusal and abstention not required.

(a) This code's prohibition on use of municipal position (Section 15.5), disclosure required (Section 15.6), and requirements relating to recusal and abstention (Section 15.7), shall not apply in the following matters:

(1) adoption of the municipality's annual budget;

(2) any matter requiring the exercise of discretion that directly affects any of the following groups of people or a lawful class of such groups:

(i) all municipal officers or employees;

(ii) all residents or taxpayers of the municipality or an area of the municipality; or

(iii) the general public; or

(3) any matter that does not require the exercise of discretion.

(b) Recusal and abstention shall not be required with respect to any matter:

(1) which comes before a board when a majority of the board's total membership would otherwise be prohibited from acting by Section 6 of this code;

(2) which comes before a municipal officer when the officer would be prohibited from acting by Section 6 of this code and the matter cannot be lawfully delegated to another person.

9. Investments in conflict with official duties.

(a) No municipal officer or employee may acquire the following investments:

(1) investments that can be reasonably expected to require more than sporadic recusal and abstention under Section 6 of this code; or

(2) investments that would otherwise impair the person's independence of judgment in the exercise or performance of his or her official powers and duties.

(b) This section does not prohibit a municipal officer or employee from acquiring any other investments or the following assets:

(1) real property located within the municipality and used as his or her personal residence;

(2) less than five percent of the stock of a publicly traded corporation; or

(3) bonds or notes issued by the municipality and acquired more than one year after the date on which the bonds or notes were originally issued.

10. Private employment in conflict with official duties.

No municipal officer or employee, during his tenure as a municipal officer or employee, may engage in any private employment, including the rendition of any business, commercial, professional or other types of services, when the employment:

(a) can be reasonably expected require more than sporadic recusal and abstention pursuant to Section 15.7 of this code;

(b) can be reasonably expected to require disclosure or use of confidential information gained by reason of serving as a municipal officer or employee;

(c) violates Section 805-a(1)(c) or (d) of the General Municipal Law; or

(d) requires representation of a person or organization other than the municipality in connection with litigation, negotiations or any other matter to which the municipality is a party.

11. Future Employment.

(a) No municipal officer or employee may ask for, pursue or accept a private post-government employment opportunity with any person or organization that has a matter requiring the exercise of discretion pending before the municipal officer or employee, either individually or as a member of a board, while the matter is pending or within the 30 days following final disposition of the matter.

(b) No municipal officer or employee, for the two-year period after serving as a municipal officer or employee, may represent or render services to a private person or organization in connection with any matter involving the exercise of discretion before the municipal office, board, department or comparable organizational unit for which he or she serves.

(c) No municipal officer or employee, at any time after serving as a municipal officer or employee, may represent or render services to a private person or organization in connection with any particular transaction in which he or she personally and substantially participated while serving as a municipal officer or employee.

12. Personal representations and claims permitted.

This code shall not be construed as prohibiting a municipal officer or employee from:

- (a) representing himself or herself, or his or her spouse or minor children before the municipality;
or
- (b) asserting a claim against the municipality on his or her own behalf, or on behalf of his or her spouse or minor children.

13. Use of Municipal Resources.

- (a) Municipal resources shall be used for lawful municipal purposes. Municipal resources include, but are not limited to, municipal personnel, and the municipality's money, vehicles, equipment, materials, supplies or other property.
- (b) No municipal officer or employee may use or permit the use of municipal resources for personal or private purposes, but this provision shall not be construed as prohibiting:
 - (1) Any use of municipal resources authorized by law or municipal policy;
 - (2) The use of municipal resources for personal or private purposes when provided to a municipal officer or employee as part of his or her compensation; or
 - (3) The occasional and incidental use during the business day of municipal telephones and computers for necessary personal matters such as family care and changes in work schedule.
- (c) No municipal officer or employee shall cause the municipality to spend more than is reasonably necessary for transportation, meals or lodging in connection with official travel.

14. Interest in Contracts.

- (a) No municipal officer or employee may have an interest in a contract that is prohibited by Section 801 of the General Municipal Law.
- (b) Every municipal officer and employee shall disclose interests in contracts with the municipality at the time and in the manner required by Section 803 of the General Municipal Law.

15. Nepotism.

Except as otherwise required by law:

- (a) No municipal officer or employee, either individually or as a member of a board, may participate in any decision specifically to appoint, hire, promote, discipline or discharge a relative for any position at, for or within the municipality or a municipal board.
- (b) No municipal officer or employee may supervise a relative in the performance of the relative's official powers or duties.

16. Political Solicitations.

- (a) No municipal officer or employee shall directly or indirectly compel or induce a subordinate municipal officer or employee to make, or promise to make, any political contribution, whether by gift of money, service, or other thing of value.
- (b) No municipal officer or employee may act or decline to act in relation to appointing, hiring or promoting, discharging, disciplining, or in any manner changing the official rank, status or compensation of any municipal officer or employee, or an applicant for a position as a municipal officer or employee, on the basis of the giving or withholding or neglecting to make any contribution of money or service or any other valuable thing for any political purpose.

17. Confidential Information.

No municipal officer or employee who acquires confidential information in the course of exercising or performing his or her official powers or duties may disclose or use such information unless the disclosure or use is required by law or in the course of exercising or performing his or her official powers and duties.

18. Gifts.

- (a) No municipal official or employee shall solicit, accept, or receive a gift in violation of Section 805-a(1)(a) of the General Municipal Law as interpreted in this section.
- (b) No municipal officer or employee may accept or receive any gift having an annual aggregate value of seventy-five dollars or more.
- (c) This section does not prohibit gifts on special occasions, such as marriage, illness, or retirement which follow this section's guidelines.
- (d) This section does not apply to unsolicited advertising or promotional materials such as pens, note pads, and calendars.
- (e) This section does not apply to meals and refreshments provided when a municipal officer or employee is a speaker or participant at a job related professional or educational conference and the meals and refreshments are made available to all participants.

19. Board of Ethics.

- (a) For the purpose of carrying out the provisions and intent of the Code of Ethics of the Village of Millbrook, there is hereby established a Board of Ethics consisting of three members to be appointed by the Board of Trustees and who shall serve without compensation and at the pleasure of the Board of Trustees. A majority of such members shall be persons other than officers or employees of the Village of Millbrook but shall include one member who is an elected or appointed municipal officer or employee of the Village of Millbrook.
- (b) The Board of Ethics shall have the powers and duties prescribed by Article 18 of the General Municipal Law and any Code of Ethics adopted pursuant to such article under the rules and regulations as the Board may prescribe. In addition, the Board of Ethics may make recommendations with respect to the drafting and adoption of a Code of Ethics or amendments thereto upon request of the Board of Trustees.

20. Posting and distribution.

- (a) The Village of Millbrook must promptly cause a copy of this code, and a copy of any amendment to this code, to be posted publicly and conspicuously in each building under the municipality's control. The code must be posted within ten days following the date on which the code takes effect. An amendment to the code must be posted within ten days following the date on which the amendment takes effect.
- (b) The Mayor of the Village of Millbrook must promptly cause a copy of this code, including any amendments to the code, to be distributed to every person who is or becomes an officer and employee of the Village of Millbrook.
- (c) Every municipal officer or employee who receives a copy of this code or an amendment to the code must acknowledge such receipt in writing. Such acknowledgments must be filed with the Village Clerk who must maintain such acknowledgments as a public record,
- (d) The failure to post this code or an amendment to the code does not affect either the applicability or enforceability of the code or the amendment. The failure of a municipal officer or employee to receive a copy of this Code of Ethics or an amendment to the code, or to acknowledge receipt thereof in writing, does not affect either the applicability or enforceability of the code or amendment to the code.

15.21. Enforcement.

Any municipal officer or employee who violates this code may be censured, fined, suspended or removed from office in the manner provided by law.

15.22. Effective date.

Adopted on 8/11/2021