

# Warren County Board of Supervisors

## RESOLUTION NO. 225 OF 2026

**RESOLUTION INTRODUCED BY SUPERVISORS GILLIGAN, STROUGH, TURNER, DRISCOLL, STRAINER, MADAY AND ETU**

**ENACTING LOCAL LAW NO. 6 OF 2026, ENTITLED “WARREN COUNTY ETHICS AND DISCLOSURE LAW AND REPEALING AND REPLACING LOCAL LAW NO. 6 OF 2014, LOCAL LAW NO. 5 OF 2021, LOCAL LAW NO. 6 OF 2021, LOCAL LAW NO. 2 OF 2022 AND LOCAL LAW NO. 4 OF 2026”**

WHEREAS, a proposed Local Law was duly presented to the Board of Supervisors and considered by them, said proposed local law entitled “Warren County Ethics and Disclosure Law and Repealing and Replacing Local Law No. 6 of 2014, Local Law No. 5 of 2021, Local Law No. 6 of 2021, Local Law No. 2 of 2022 and Local Law No. 4 of 2026,” and

WHEREAS, the Board of Supervisors adopted Resolution No. 199 of 2026, which authorized a public hearing to be held by the Board of Supervisors on the 18<sup>th</sup> day of June, 2026, in the Supervisors’ Room in the Warren County Municipal Center on the matter of the proposed local law, and notice of such public hearing having been duly published and posted as required by law, and said public hearing having been held and all persons appearing at such public hearing desiring to be heard, having been heard, now, therefore, be it

RESOLVED, that the Board of Supervisors of the County of Warren, New York, on this 18<sup>th</sup> day of June, 2026, does hereby enact and adopt Local Law No. 6 of 2026, as annexed hereto.

**COUNTY OF WARREN  
LOCAL LAW NO. 6 OF 2026**

**“WARREN COUNTY ETHICS AND DISCLOSURE LAW AND REPEALING AND REPLACING  
LOCAL LAW NO. 6 OF 2014, LOCAL LAW NO. 5 OF 2021, LOCAL LAW NO. 6 OF 2021, LOCAL  
LAW NO. 2 OF 2022 AND LOCAL LAW NO. 4 OF 2026”**

BE IT ENACTED, by the Board of Supervisors of the County of Warren, New York as follows:

SECTION 1. Title. This Local Law shall be entitled “Warren County Ethics and Disclosure Law and Repealing and Replacing Local Law No. 6 of 2014, Local Law No. 5 of 2021, Local Law No. 6 of 2021, Local Law No. 2 of 2022 and Local Law No. 4 of 2026.”

SECTION 2. Purpose. To update the Local Law to reflect Article 18 of the General Municipal Law provisions and to amend the Financial Disclosure Form included as “Appendix B” in the Warren County Ethics and Disclosure Law intended to ensure that officers and employees for the County of Warren hold their positions to serve and benefit the public, and not for obtaining unwarranted personal or private gain in the exercise and performance of their official powers and duties. The Board of Supervisors recognizes that, in furtherance of this fundamental principle, there is a need for clear and reasonable standards of ethical conduct. This code of ethics establishes those standards.

SECTION 3. Definitions.

- (a) “Board” means Warren County Board of Supervisors.
- (b) “Code” or “Code of Ethics” means this Code of Ethics.
- (c) “Contract”: means any claim, account or demand against or agreement with a municipality, express or implied, and shall include the designation of a depository of public funds and the designation of a newspaper, including but not limited to an official newspaper, for the publication of any notice, resolution, ordinance, or other proceeding where such publication is required or authorized by law.
- (d) “County of Warren” or “County” means the municipal government organized under the laws of the State of New York with a principal place of business located at 1340 State Route 9, Lake George, New York 12845, and its officers, employees, departments, offices, boards and agencies.
- (e) “Gift” means anything of value, whether in the form of money, service, loan, travel, entertainment, hospitality, thing or promise, or anything of value in any other form. The value of a gift is the gift’s fair market value, determined by the retail cost of the item or the fair market value of a comparable item. The fair market value of a ticket entitling the holder to food, refreshments, entertainment, or any other benefit is the face value of the ticket, or the actual cost to the donor, whichever is greater.
- (f) “Interest” means a direct or indirect financial or material benefit accruing to a municipal officer or employee as a result of a contract with the municipality which such officer or employee serves, but does not include any benefit arising from the provision or receipt of any services generally available to the residents or taxpayers of the municipality or an area of the municipality, or a lawful class of such residents or taxpayers. A municipal officer or employee is deemed to have an interest in any private organization when he or she, his or her spouse, or a member of their household, is an owner, partner, member, director, officer, employee, or directly, collectively, or indirectly owns or controls more than five percent (5%) of the organization’s outstanding stock, or any other form of ownership in the organization.
- (g) “Member of their Household” means any person residing in the same household as a County officer or employee and such residence is the person’s primary residence, without regard for familial relationship.
- (h) “Municipality” means a county, city, town, village, school district, consolidated health district, county vocational education and extension board, public library, board of cooperative educational services, urban renewal agency, a joint water works system established pursuant to chapter six hundred fifty-four of the laws of nineteen hundred twenty-seven, or a town or county improvement district, district corporation, or other district or a joint service established for the purpose of carrying on, performing or

financing one or more improvements or services intended to benefit the health, welfare, safety or convenience of the inhabitants of such governmental units or to benefit the real property within such units, an industrial development agency but shall have no application to a city having a population of one million or more or to a county, school district, or other public agency or facility therein, and shall include Adirondack Community College.

- (i) “Municipal officer or employee” means an officer or employee of a municipality, whether paid or unpaid, including members of any administrative board, commission or other agency thereof and in the case of a county, shall be deemed to also include any officer or employee paid from county funds. No person shall be deemed to be a municipal officer or employee solely by reason of being a volunteer firefighter or civil defense volunteer, except a fire chief or assistant fire chief.
- (j) “Sporadic” means less than four times during any twelve (12) month period.
- (k) “Relative” means a person’s spouse, child, stepchild, stepparent, or other person who is a direct descendent of the grandparents of such person or the spouse of such person.
- (l) “Spouse” means a husband or wife of the municipal officer or employee unless living separate and apart with the intention of terminating the marriage, or separated pursuant to either a judicial order, decree or judgment, or a legally binding separation agreement.

SECTION 4. Applicability. This code of ethics applies to the officers and employees for the County of Warren and shall replace and supersede all Warren County Code of Ethics, dated 2014, 2021, and 2022. 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 County of Warren.

SECTION 5. Prohibition on use of municipal position for personal or private gain. No municipal officer or employee shall use their municipal position or official powers and duties to secure a financial or material benefit for themselves, a Relative, a Member of their Household, or for any private organization in which they are deemed to have an Interest.

SECTION 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 themselves, a Relative, a member of their Household, or any private organization in which they are deemed to have an Interest, the County officer or employee shall refrain from the exercise of discretion in the matter.
- (b) The County officer or employee shall disclose, in writing, the nature of the Interest by completing the “Outside Interest Form” as required by Section 8 as provided at Appendix “A” herein. The Outside Interest Form disclosure shall be made when the matter requiring disclosure first comes before the County officer or employee, or when the County officer or employee first acquires knowledge of the Interest requiring disclosure, whichever occurs first.

SECTION 7. Interests in Contracts Prohibited.

- (a) No County officer or employee may have an Interest in a contract with the County of Warren that is prohibited by sections 801 and 802 of the General Municipal Law.
- (b) Every County officer and employee shall disclose an Interest in any County contract at the time and in the manner required by section 803 of the General Municipal Law, and this Code of Ethics.

SECTION 8. Outside Interest Form.

- (a) Any County officer or employee, to include their spouse or a Member of their Household, that engages in any outside activity with any business entity, for-profit or not-for-profit, or maintains any financial relationship with the County of Warren as an employee, contractor, consultant, owner, partner, Board

member, or passive investor shall complete and file an Outside Interest Form, as provided at Appendix "A."

- (b) Any County officer or employee that provides to or receives from the County of Warren any client referrals, either individually or for the benefit of any business entity as provided by Section 8(a) above, shall complete and file an Outside Interest Form, as provided at Appendix "A."
- (c) Any County officer or employee, to include their spouse or a Member of their Household, that competes with the County of Warren or any of its departments or offices, either individually or for the benefit of any business entity as provided by Section 8(a) above, shall complete and file an Outside Interest Form, as provided at Appendix "A."
- (d) In the case of a person serving as a municipal officer elected to a public office, the Outside Interest Form shall be filed with the Clerk of the Board of Supervisors.
- (e) In the case of all municipal officers and employees not elected to a public office, the Outside Interest Form shall be submitted to the filer's Department Head or, if the filer does not have a Department Head, then the Outside Interest Form shall be filed with the County officer, employee or board having the power to appoint such person to the title and position held, with a copy filed with the County Attorney.
- (f) In the case of a County officer or employee appointed to serve on any municipal board or committee by or through the County of Warren, then a copy of the Outside Interest Form shall be filed with the Clerk of the Board of Supervisors.
- (g) All Outside Interest Forms filed with the Clerk of the Board of Supervisors shall be made public at the next scheduled meeting of the Board of Supervisors, through publication, and shall be included by reference in the minutes of the meeting.

**SECTION 9: Annual Financial Disclosure Statements.**

- (a) All County officers and employees shall comply with the requirements set forth by General Municipal Law, Article 18, and any amendments or revisions related to the filing of financial disclosure statements, as well as this Code of Ethics.
- (b) County Officers and Employees Required to File (Mandatory Filers). The County officers and employees holding titles and positions whose duties and responsibilities are described below shall be deemed Mandatory Filers and shall be required to complete, sign and file an annual financial disclosure statement every year:
  - (1) Elected officials;
  - (2) The heads of any department, office, agency, division, council, board, commission, authority or bureau of the County of Warren, and their deputies, and such other persons authorized to act on their behalf who make policy decisions;
  - (3) Officers and employees holding titles involved in policymaking, including members of boards, commissions and public authorities of the County of Warren. A person shall hold a policymaking position if they meet the following criteria, based upon either the powers and duties of the title held and that title's job description, or any applicable law or regulation, or based on the actual duties performed by such person:
    - a. They have been determined to be managerial pursuant to Civil Service Law §201(7) because they formulate policy; or
    - b. They are in the non-competitive class under §2.2 of the rules and regulations of the New York State Department of Civil Service, provided that the person holds a position that is designated in any applicable rules and regulations promulgated by the county civil service commission or County Personnel Officer pursuant to Civil Service Law §20, on the basis that the position requires the performance of functions influencing policy; or
    - c. They exercise responsibilities of a broad scope in the formulation of plans for the implementation of goals or policy for a county agency or acts as an advisor to an individual in such a position.
  - (4) Officers and employees that possess discretionary authority with respect to:

- a. Contracts, leases, franchises, concessions, permits, or licenses; or
  - b. The purchase, sale, rental, or lease of real property, personal property, or services, or a contract therefore; or
  - c. The obtaining of grants of money or loans; or
  - d. Inspections; or
  - e. The adoption or repeal of any rule or regulation having the force and effect of law.
- (5) A non-exhaustive, representative list of County officers and employees mandated to file annual financial disclosure statements is set forth at Appendix “B” and incorporated by reference herein.
- (c) Approved Format for Financial Disclosure Statement. Each Mandatory Filer shall complete the annual financial disclosure statement in the form set forth at Appendix “C” herein.
- (d) Time and Place for Filing. The annual financial disclosure statements shall be filed with the County Attorney’s Office no later than the 31st of January each year. The failure to file an annual financial disclosure statement may subject a Mandatory Filer to discipline.
- (e) Board of Ethics Review. The Board of Ethics shall have authority to review all filed annual financial disclosure statements, to request additional information from any Mandatory Filers, as needed to determine questions that may arise under State law or this Code of Ethics.
- (1) A complete list of all annual financial disclosure statements filed with the County Attorney’s Office shall be made available for inspection and review by the Board of Ethics members by February 14th of each year, or within fifteen (15) days after the Board of Ethics has been appointed and sworn.
  - (2) The Board of Ethics shall adopt procedures to address a Mandatory Filer which fail to file an annual financial disclosure statement, or files a Financial Disclosure Statement deemed incomplete, or which raised a material question which requires the Board of Ethics to obtain additional information from the Mandatory Filer.
  - (3) The County Attorney’s Office shall assist the Board of Ethics to accomplish the ministerial acts required for the Board of Ethics to accomplish their assigned tasks.
  - (4) The Board of Ethics shall notify the County Administrator and Board of Supervisors, in writing, whether all Mandatory Filers have completed the requirements of this section and advise of any Mandatory Filer that failed to file or filed an incomplete annual financial disclosure statement, as of April 30th each year.
  - (5) Updated financial disclosure statements shall be filed by Mandatory Filers during each calendar year when a material change of circumstances which warrant supplemental disclosure occurs and all such updated financial disclosure statements shall be filed with the County Attorney’s Office and submitted to the Board of Ethics for review.

**SECTION 10. Recusal.**

- (a) No County officer or employee may participate, either directly or indirectly, in any decision, or take any official action upon any matter requiring the exercise of discretion, including discussing the matter during a public meeting and any executive session, or voting upon such a matter, when they know, should know, or have reason to know that the action may confer a direct or indirect financial or material benefit on themselves, a Relative, a Member of their Household, or any private organization in which they are deemed to have an Interest.
- (b) Any Interest requiring recusal must be set forth on the filer’s annual Financial Disclosure Statement.
- (c) Any County officer or employee recusing from a matter should report the Interest which caused the recusal on an Outside Interest Form, as required by Section 6.
- (d) 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 their 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; or
- (3) if the power or duty is vested in a municipal employee, they shall refer the matter to their immediate supervisor, and the immediate supervisor shall designate another person to exercise or perform the power or duty.

**SECTION 11. Prohibition inapplicable; disclosure and recusal not required.**

- (a) This Code's prohibition on use of a municipal position (section 5), disclosure requirements (sections 6, 8 and 9), and requirements relating to recusal (section 10), shall not apply with respect to the following matters:
  - (1) adoption of the County of Warren'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 shall not be required with respect to any matter:
  - (1) which comes before the Warren County Board of Supervisors or standing Committee or Special Committee thereof when a majority of the board's total membership or committee's total membership would otherwise be prohibited from acting by section 10 of this Code; or
  - (2) which comes before a municipal officer when the officer would be prohibited from acting by section 10 of this Code and the matter cannot be lawfully delegated to another person.

**SECTION 12. Investments in conflict with official duties.**

- (a) No County officer or employee may acquire the following investments:
  - (1) investments that can be reasonably expected to require more than Sporadic recusal under section 10 of this Code; or
  - (2) investments that would otherwise impair the person's independence of judgment in the exercise or performance of their official powers and duties.
- (b) This section does not prohibit a County officer or employee from acquiring any other investments or the following assets:
  - (1) real property located within Warren County and used as a personal primary residence;
  - (2) less than five percent (5%) of the stock of a publicly traded corporation; or
  - (3) bonds or notes issued by a municipality and acquired more than one year after the date on which the bonds or notes were originally issued.

**SECTION 13. Private employment in conflict with official duties.** No County officer or employee, during their 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, and including serving as a Board member, consultant, contractor or passive investor of an entity that: engages in any business or maintains any relationship with the County of Warren, provides to or oversees from the County of Warren any client referrals; or competes with the County of Warren, if such private employment or activity:

- (a) may be expected to require more than Sporadic recusal, pursuant to sections 10 and 12 of this Code;
- (b) may be expected to require disclosure or use of confidential information gained through service as a municipal officer or employee; or
- (c) violates section 805-a(1)(c) of the General Municipal Law which prohibits receiving, or entering into any agreement, express or implied, for compensation for services rendered in relation to any matter before any municipality of which they are an officer, member, or employee or of any municipal agency

over which they have jurisdiction or to which they have the power to appoint any member, officer or employee; or

- (d) violates section 805-a(1)(d) of the General Municipal Law which prohibits receiving, or entering into any agreement, express or implied, for compensation for services to be rendered in relation to any matter before any agency of their municipality, whereby their compensation is to be dependent or contingent upon any action by such municipal agency with respect to such matter, provided that this paragraph shall not prohibit the fixing at any time of fees based upon the reasonable value of the services rendered; or
- (e) requires representation of a person or organization other than the County of Warren in connection with litigation, negotiations or any other matter to which the County of Warren is a party.

**SECTION 14. Future employment.**

- (a) No County 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 County officer or employee, either individually or as a member of a board, while the matter is pending or within the thirty (30) days following final disposition of the matter.
- (b) No County officer or employee, for the two-year period after serving as a County 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 any County of Warren department, office, board, or comparable organizational unit for which they served.
- (c) No County officer or employee, at any time after serving as a County officer or employee, may represent or render services to a private person or organization in connection with any particular transaction in which they personally and substantially participated while serving as a County officer or employee.

**SECTION 15. Personal representations and claims permitted.** This Code shall not be construed as prohibiting a County officer or employee from:

- (a) representing themselves, their spouse, or their minor children before the County of Warren; or
- (b) asserting a claim against the County of Warren on their own behalf, or on behalf of their spouse or their minor children.

**SECTION 16. Use of County resources.**

- (a) County resources shall be used only for lawful County purposes.
- (b) County resources include, but are not limited to the County's personnel, as well as the County's money, vehicles, equipment, materials, supplies, and other County property. County resources shall include the County's computer data network, to include but not limited to the use of County hardware to access the County computer data network, and the County's software programs and applications, as more fully governed by the County's Computer Use policy, which is incorporated by reference herein.
- (c) No County officer or employee may use or permit the use of County resources for personal or private purposes, but this provision shall not be construed as prohibiting:
  - (1) The use of County resources authorized by law or municipal policy;
  - (2) The use of County resources for personal or private purposes when provided to a County officer or employee as part of their compensation; or
  - (3) The occasional and incidental use during the business day of County telephones and the computer data network for necessary personal matters such as family care and changes in work schedule.

**SECTION 17. Political Solicitations.**

- (a) No County officer or employee shall directly or indirectly compel or induce a subordinate County 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 County 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 County officer or employee, or an applicant for a position as a County 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.

SECTION 18. Confidential Information. No County officer or employee who requires confidential information in the course of exercising or performing their 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 their official powers and duties.

SECTION 19. Gifts.

- (a) Prohibited Gifts. No County officer or employee, their spouse, or Member of their Household, shall solicit, accept or receive a gift in violation of section 805-a(1)(a) of the General Municipal Law or in violation of this section.
- (b) Solicitation of Gifts Prohibited. No County officer or employee, their spouse, or Member of their Household, may directly or indirectly solicit any gift.
- (c) Certain Gifts Prohibited. No County officer or employee, their spouse, or other Member of their Household, may accept or receive any unsolicited gift, or multiple gifts from the same donor, individually or collectively, having an annual aggregate value of Seventy-Five Dollars (\$75.00) or more, if the gift:
  - (1) reasonably appears to be intended to influence the County officer or employee in the exercise or performance of their official powers or duties; or
  - (2) reasonably could be expected to influence the County officer or employee in the exercise or performance of their official powers or duties; or
  - (3) is intended as a reward for any official action on the part of the County officer or employee.
- (d) Aggregating multiple gifts from same donor. The determination of whether multiple gifts from a single donor exceed Seventy-Five Dollars (\$75.00) shall be determined by adding together the value of all gifts received by a County officer or employee, their spouse, or a Member of their Household, during the twelve (12) month period preceding the receipt of the most recent gift from an individual donor or any corporate interest or business entity with whom the individual donor is associated (i.e. an officer, director, partner, employee, agent, contractor or consultant).
- (e) Presumptions for gifts.
  - (1) A gift to a County officer or employee, their spouse, or a Member of their Household shall be presumed to be intended to influence the exercise or performance of their official powers or duties when the gift is from a private person or organization that seeks County of Warren action involving the exercise of discretion by or with the participation of the officer or employee.
  - (2) A gift to a County officer or employee, their spouse, or a Member of their Household shall be presumed to be intended as a reward for official action when the gift is from a private person or organization that obtained County of Warren action which involved the exercise of discretion by, or with, the participation of the County officer or employee during the twelve (12) month period preceding the gift.
- (f) Gifts Not Prohibited. This section does not prohibit any other gift, including:
  - (1) gifts made to the County of Warren;
  - (2) gifts from a person with a family or personal relationship with the County officer or employee, their spouse, or a Member of their Household, when the circumstances make it clear that the personal relationship, rather than the title or position held by the County officer or employee, is the primary motivating factor for the gift;
  - (3) gifts given on special occasions, such as marriage, illness, or retirement, which are modest, reasonable and customary;
  - (4) unsolicited advertising or promotional material of little intrinsic value, such as pens, pencils, note pads, and calendars;



- (5) awards and plaques having a value of less than Two Hundred and Fifty Dollars (\$250.00) when presented publicly in recognition of service as a County officer or employee, or in recognition of service to the community unrelated to their position as a County officer or employee;
- (6) meals and refreshments provided when a County officer or employee is a speaker or participant at a job-related professional or educational conference or program, and the meals and refreshments are made available to all participants; or
- (7) receipt of a prize or other item of value worth less than Two-Hundred and Fifty Dollars (\$250.00) when such prize was received by the County officer or employee while in attendance at a job-related professional educational conference or program and all attendees were included in a blind drawing or could have been included in the blind drawing for the prize.

**SECTION 20. Board of Ethics.**

- (a) There is hereby established a Board of Ethics for the County of Warren.
- (b) Composition. The Board of Ethics shall consist of seven (7) primary members and as many alternate members are deemed appropriate by the Board of Supervisors. All members and alternate members shall be deemed officers of the County of Warren. Alternate members shall serve in the event a primary member is unable to serve at any meeting due to illness, unavailability, or when a conflict is presented.
- (c) Appointment. All members of the Board of Ethics shall be appointed by the Board of Supervisors and shall serve at the pleasure of the Board of Supervisors.
- (d) Term. The term of appointment for members shall run concurrent with the term of the Board of Supervisors.
- (e) Qualifications. All members shall maintain a primary residence in the State of New York and Warren County at the time of appointment and during the entire term of appointment, in accordance with Public Officers Law. Members shall be selected based upon their education, experience, demonstrated integrity, commitment to honesty, and selfless desire to serve the public.
  - (1) No member shall be a municipal officer or employee for any Municipality located in Warren County.
  - (2) No member of the Board of Ethics shall be an official, officer or committee person of a political party or hold any similar office or title in a political party at the time of appointment or during their term.
- (f) Compensation. Members of the Board of Ethics shall not receive any salary, compensation, or other employee benefits, for their services as members of the Board of Ethics.
- (g) Role of Board of Ethics. The role of the Board of Ethics shall be limited to providing recommendations to the Board of Supervisors which shall be purely advisory and which does not require further action by the Board of Supervisors.
- (h) Responsibilities of the Board of Ethics.
  - (1) Advisory Opinions. The Board of Ethics shall render advisory opinions with respect to Article 18 of the General Municipal Law and this Code. Such advisory opinions must be rendered pursuant to a written request per the rules and regulations promulgated by the Board of Ethics.
  - (2) Amendment of Code. The Board of Ethics may submit written recommendations to the Board of Supervisors regarding proposed amendments to the Code of Ethics not more than once each calendar year.
  - (3) Ethics Complaints. The Board of Ethics may accept written complaints or allegation of a conflict of interest or violation of this Code alleged against any County officer or employee from any source. The Board of Ethics may initiate an investigation upon its own motion, or upon receipt of a sworn complaint alleging a violation. The Board of Ethics shall have the advice of legal counsel employed by the Board of Ethics, or if none, the Warren County Attorney or their designee.
  - (4) Rules and Regulations. The Board of Ethics is authorized to establish rules and regulations necessary for the proper discharge of their duties and may amend such rules and regulations as deemed necessary, upon the majority vote of the Board of Ethics.

- (5) Meetings. Members of the Board of Ethics shall meet at least twice each calendar year to review annual financial disclosure statements and thereafter, as needed. Documentation of the meeting date and time shall be provided to the County Attorney's office and the Clerk of the Board of Supervisors. The Board of Ethics is not designated a "public body" as defined by Public Officers Law § 102(2) and only serves as an advisory body to the Board of Supervisors.
- (6) Ministerial Tasks. The Board of Ethics may utilize the services of the Warren County Attorney's Office for ministerial tasks required to accomplish their responsibilities. The Warren County Attorney's Office shall serve as the official repository of records for the Board of Ethics, as the mailing address for the Board of Ethics, and the agent for service of process for the Board of Ethics.
- (i) Members of the Board of Ethics shall be appointed for the remainder of the current term within sixty (60) days of the effective date of this Local Law and they shall comply with the Local Law immediately upon appointment.

**SECTION 21: Annual Ethics Training.**

- (a) Every County officer and employee employed on January 1st shall complete an annual ethics training course no later than January 31st of each calendar year. Any officer or employee that begins employment after January 1st of the calendar year shall complete the annual ethics training within ten (10) calendar days following their first day of appointment or employment, and each year thereafter.
- (b) The annual ethics training shall provide instruction regarding the legal and ethical obligations of County officers and employees while serving the County of Warren and the content of such training shall be determined by the County Administrator.
- (c) The Director of Information Technology shall track and report to the County Administrator all employees which complete annual ethics training through the County's computer data network and the County Administrator shall ensure all County officers and employee comply with this section.
- (d) Department Heads supervising County employees without access to the County's computer data network shall report to the County Administrator by name and title, each employee which completed ethics training and the date completed.

**SECTION 22. Posting and distribution.**

- (a) The Clerk of the Board of Supervisors, or their designee, shall promptly cause a copy of this Local Law, and a copy of any amendment to this Local Law, to be posted publicly and conspicuously in each building under the County of Warren's control. The code must be posted within ten (10) days following the date on which the Local Law takes effect. An amendment to the Local Law must be posted within ten (10) days following the date on which the amendment takes effect. Prior to January 31st of each calendar year, the Clerk of the Board will confirm that the most current version of this Local Law remains posted publicly and conspicuously in each building under the County's control.
- (b) The Warren County Administrator or their designee must promptly cause a copy of this Local Law, including any amendments to the Local Law, to be distributed, electronically or in hard copy, to every person who is or becomes an officer and employee of the County of Warren, and receipt by every employee shall be acknowledged in a manner and form determined by the County Administrator.
- (c) A copy of this Local Law shall be provided to all new officers and employees within ten (10) days of employment or assuming office, as the case may be.
- (d) Every County officer or employee who receives a copy of this Local Law or an amendment to the Local Law must acknowledge such receipt in writing or electronically. Such acknowledgments must be filed with the Clerk of the Board of Supervisors who shall maintain such acknowledgments as a public record.
- (e) The failure to post this Local Law or an amendment to the Local Law does not affect either the applicability or enforceability of the Local Law or the amendment.
- (f) The failure of a County officer or employee to receive a copy of this Local Law or an amendment to the Local Law, or to acknowledge receipt thereof, in writing, does not affect either the applicability or enforceability of the Local Law or any amendment to the Local Law.

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SECTION 23. Enforcement. Any County officer or employee who violates this Local Law may be reprimanded, censured, fined, suspended or removed from office or employment in the manner provided by law. Any County officer or employee who is being disciplined for violation of this Local Law must be referred by the Department Head for the County officer or employee to the Board of Ethics as an ethics complaint. Any recommendation made by the Board of Ethics shall be placed in the permanent personnel file for such County officer or employee.

SECTION 24. Severability. In the event that any provision of this Local Law shall be determined by a Court of Law to be illegal and/or unenforceable, the Local Law, to the extent the Courts have determined practical shall continue in full force and effect as if the said illegal or unenforceable provision were not contained a part thereof.

SECTION 25. Effective date. This Local Law shall take effect immediately upon filing with the Secretary of State.

**APPENDIX "A"**  
**Outside Interest Form for County of Warren**

Complete this form when required by section 8 of the Code of Ethics. The completed form must be filed as required by Section 8 of the Code.

Name: \_\_\_\_\_

Job Title: \_\_\_\_\_

State the nature of your outside activities or those of your spouse, or a Member of your Household, in any entity that engages in any business with the County of Warren or maintains any other financial relationship with the County of Warren.

Describe the nature of your outside activities in any entity that provides to, or receives from, the County of Warren any client referrals.

Describe the nature of your outside activities or the activities of your spouse, or a Member of your Household, with any entity that competes with the County of Warren.

PREPARED AND SUBMITTED BY:

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

*Date Received and Filed.*

\_\_\_\_\_  
Name:  
Title:

\_\_\_\_\_  
Date Filed

**APPENDIX “B”**

The following County of Warren officers and employees shall file a financial disclosure statement as provided by the Warren County Code of Ethics:

Supervisor, Warren County Board of Supervisors  
Clerk of the Warren County Board of Supervisors  
Deputy Clerk of the Warren County Board of Supervisors  
District Attorney  
Assistant District Attorney  
Public Defender  
Assistant Public Defender  
Warren County Administrator  
Assistant to the Warren County Administrator  
County Auditor  
County Treasurer  
Deputy County Treasurer  
Budget Officer  
Purchasing Agent  
Deputy Purchasing Agent  
Director of Real Property Tax Services  
Deputy Director of Real Property Tax Services  
County Clerk  
Deputy County Clerk  
County Attorney  
Assistant County Attorney  
Director, County Human Resources  
Personnel Officer  
Commissioners of Elections  
Deputy Commissioners of Elections  
Superintendent of Public Works  
Deputy Superintendent Public Works  
Deputy Superintendent Public Works/Operations  
Airport Manager  
Director of Probation  
Sheriff  
Undersheriff  
Lieutenant, Sheriff's Office  
Director of Public Health/Patient Services, Health Services  
Assistant Director Public Health  
Assistant Director Patient Services  
Director, Community Mental Health Services  
Assistant Director of Mental Health  
Commissioner of Social Services  
Deputy Commissioner of Social Services  
Social Services Attorney  
Assistant Social Services Attorney  
Director Countryside Adult Home  
Director of Workforce Development  
Director of Tourism

*Appendix "B" con't*

Director of Weights & Measures  
Director, Office for the Aging  
County Historian  
Warren County Planner  
Associate Warren County Planner  
Administrator, Fire Prevention and Building Code Enforcement  
Administrator, Self-Insurance  
Deputy Insurance Administrator  
Director, Veterans' Services Agency  
Director of Information Technology  
Director, Office of Emergency Services  
Fire Coordinator  
Executive Director Lake Champlain/Lake George Regional Planning Board  
Warren County Coroner  
Warren County Medical Examiner  
Director, Soil and Water Conservation District  
Members of the Board of Ethics

APPENDIX "C"

ANNUAL STATEMENT OF FINANCIAL DISCLOSURE COUNTY OF WARREN FORM F-100  
FOR 20\_\_\_\_

1. General Information

\_\_\_\_\_  
Last Name Middle Initial First Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Department or Agency

\_\_\_\_\_  
County Address

\_\_\_\_\_  
County Telephone

\_\_\_\_\_  
Primary Residence

2. Marital Status. If married, please give full name of spouse:

\_\_\_\_\_  
Provide name and age for each child or stepchild to have, from oldest to youngest. Please list the address for any child or stepchild that does not reside primarily at your primary residence. If none, state "None" or "N/A".

| <u>FULL NAME:</u> | <u>AGE:</u> | <u>ADDRESS (Town &amp; State only):</u> |
|-------------------|-------------|-----------------------------------------|
| A. _____          | _____       | _____;                                  |
| B. _____          | _____       | _____;                                  |
| C. _____          | _____       | _____;                                  |
| D. _____          | _____       | _____;                                  |
| E. _____          | _____       | _____;                                  |
| F. _____          | _____       | _____;                                  |
| G. _____          | _____       | _____;                                  |
| H. _____          | _____       | _____.                                  |

*(Please list any additional children on separate paper)*

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3. Provide name and age for any person who is not listed under #2 or #3 above and that resides with you at your primary residence. Please state your relationship to such person, such as "parent", "sibling," "significant other," "roommate" or other appropriate term. If none, state "None" or "N/A".

FULL NAME:

AGE:

RELATIONSHIP:

A. \_\_\_\_\_;

B. \_\_\_\_\_;

C. \_\_\_\_\_;

D. \_\_\_\_\_.

*(Please list any additional persons on separate paper)*

4. Does any Relative currently working for Warren County? If so, please provide the name(s) of the Relative, the name of the County department, the Relative's title. If none, state "None" or "N/A".

FULL NAME:

AGE:

RELATIONSHIP:

A. \_\_\_\_\_;

B. \_\_\_\_\_;

C. \_\_\_\_\_;

D. \_\_\_\_\_;

E. \_\_\_\_\_.

*(Please list any additional persons on separate paper)*

5. Financial Interests.

A. Business Positions. State your name, your spouse's name, or the name of any Member of your Household that holds any office, trusteeship, directorship, partnership, or other position in any business, association, proprietary, or not-for-profit organization that conducts business or has a financial interest in the County or any City, Town or Village in Warren County. If none, state "None" or "N/A".

| <u>Name</u> | <u>Position</u> | <u>Organization</u> | <u>County Department or Municipality &amp; Nature of Involvement</u> |
|-------------|-----------------|---------------------|----------------------------------------------------------------------|
|-------------|-----------------|---------------------|----------------------------------------------------------------------|

|       |       |       |       |
|-------|-------|-------|-------|
| _____ | _____ | _____ | _____ |
|-------|-------|-------|-------|

|       |       |       |       |
|-------|-------|-------|-------|
| _____ | _____ | _____ | _____ |
|-------|-------|-------|-------|

|       |       |       |       |
|-------|-------|-------|-------|
| _____ | _____ | _____ | _____ |
|-------|-------|-------|-------|

*(Please provide any additional information concerning nature of relationship and involvement on separate paper, as needed)*



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- B. Outside Employment. State your name, your spouse's name, or the name of any Member of your Household that holds any outside occupation, employment, trade, business, or profession providing more than \$1,000 per year when the business entity also conducts business with the County of Warren or any Town, Village or City in Warren County. If none, state "None" or "N/A".

| <u>Name</u> | <u>Position</u> | <u>Organization</u> | <u>County Department or Municipality &amp; Nature of Involvement</u> |
|-------------|-----------------|---------------------|----------------------------------------------------------------------|
| _____       | _____           | _____               | _____                                                                |
| _____       | _____           | _____               | _____                                                                |
| _____       | _____           | _____               | _____                                                                |
| _____       | _____           | _____               | _____                                                                |

*(Please provide any additional information concerning nature of relationship and involvement on separate paper, as needed)*

- C. Investments. Itemize and describe all investments in excess of \$5,000 or five percent (5%) of the value in any business, corporation, partnership, or other assets, including stocks, bonds, loans, pledged collateral, and other investments, for you, or your Relative, if such investment is with a business or other entity involved with the County or any Town, Village or City in Warren County. If none, state "None" or "N/A".

| <u>Name/Owner</u> | <u>Business Name / Address of Business</u> | <u>Description of Investment</u> |
|-------------------|--------------------------------------------|----------------------------------|
| _____             | _____                                      | _____                            |
| _____             | _____                                      | _____                            |
| _____             | _____                                      | _____                            |
| _____             | _____                                      | _____                            |

*(Please provide any additional information concerning nature of relationship and involvement on separate paper, as needed)*

- D. Real Property Other Than Primary Residence. List the address of all real estate in Warren County, excluding your primary residence, which you, your spouse, children, or stepchildren, have an interest, regardless of its value. If none, state "None" or "N/A".

(1) \_\_\_\_\_;

(2) \_\_\_\_\_;

(3) \_\_\_\_\_.

*(Please list any additional properties on separate paper, as needed)*

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- E. Other Income. Identify the source and nature of any other income in excess of \$1,000/year from any source not described above, for you, your spouse, or a Member of your Household, if the source of income is a person or business entity that conducts business with the County of Warren or any Town, Village or City in Warren County.

| <u>Name</u> | <u>Name / Address of<br/>Income Source</u> | <u>Nature of Income</u> |
|-------------|--------------------------------------------|-------------------------|
| _____       | _____                                      | _____                   |
| _____       | _____                                      | _____                   |
| _____       | _____                                      | _____                   |
| _____       | _____                                      | _____                   |

*(Please provide any additional information concerning nature of relationship and involvement on separate paper, as needed)*

6. Interest in Contracts

State any Interest that you, your spouse, children, stepchildren, or a Member of your Household has in any contract involving the County of Warren or a Town, Village or City in Warren County.

| <u>Name of Person with Interest</u> | <u>Contract Description &amp; County Department or Municipality Involved</u> |
|-------------------------------------|------------------------------------------------------------------------------|
| _____                               | _____                                                                        |
| _____                               | _____                                                                        |

*(Please provide any additional information concerning contracts on separate paper, as needed)*

7. Debts. Describe all debts you, your Spouse, or a Member of your Household owe to the County of Warren or any Municipality in Warren County, that is greater than \$5,000. For example, any unpaid school taxes, property taxes, occupancy tax payments, or other local tax liens or assessments as of the date of filing this financial disclosure statement.

| <u>Name of Debtor</u> | <u>Name of Creditor</u> |
|-----------------------|-------------------------|
| _____                 | _____                   |
| _____                 | _____                   |
| _____                 | _____                   |
| _____                 | _____                   |

Appendix C, con't

8. Third-Party Reimbursements. Identify and describe the source of any third-party reimbursement for travel-related expenditures of any matter that relates to your official duties. The term “reimbursement” includes any travel-related expenses provided by anyone other than the County of Warren for speaking engagements, conferences, or fact-finding events that relate to your official duties received by you, your Spouse or a Member of your Household.

| <u>Source</u> | <u>Description and Amount</u> |
|---------------|-------------------------------|
|               |                               |
|               |                               |
|               |                               |
|               |                               |

9. Gifts and Honorariums.

- (a) Has anyone attempted to influence your performance of your official duties by giving you gifts during the twelve months prior to you submitting this financial disclosure statement, to include the total value of gifts given to you, your Spouse or a Member of your Household? The term “gift” means anything of value, whether in the form of money, service, loan, travel, entertainment, hospitality, thing or promise, or anything of value in any other form. The value of a gift is the gift’s fair market value, determined by the retail cost of the item or the fair market value of a comparable item. The fair market value of a ticket entitling the holder to food, refreshments, entertainment, or any other benefit is the face value of the ticket, or the actual cost to the donor, whichever is greater. If none, state “None.” If yes, indicate:

| <u>Source</u> | <u>Description of Gift</u> |
|---------------|----------------------------|
|               |                            |
|               |                            |
|               |                            |
|               |                            |

10. Miscellaneous Provisions.

- A. The filer shall provide the Board of Ethics with additional information, upon request.  
B. The reporting requirement of this statement is required by New York State Law and the law of the County of Warren.  
C. This statement is subject to public disclosure under the New York State Freedom of Information Law (FOIL).

**CERTIFICATION:**

By my signature below, I acknowledge, understand and agree that any person who knowingly and willfully with intent to deceive makes a false statement or gives information which such individual knows to be false on such statement of financial disclosure filed pursuant to the Warren County Code of Ethics and the Warren County Board of Supervisors may refer a violation to the appropriate prosecutor and such violation shall be punishable as a class A misdemeanor. Notwithstanding any other provision of law to the contrary, no other penalty, civil or criminal may be imposed for a failure to file, or for a false filing, of such statement, except that the appointing authority may impose disciplinary action as otherwise provided by law.

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Signature of Reporting Individual

Date