



Regional Economic Development Councils

2021 REDC GUIDEBOOK



2021

A Division of Empire State Development

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INTRODUCTION

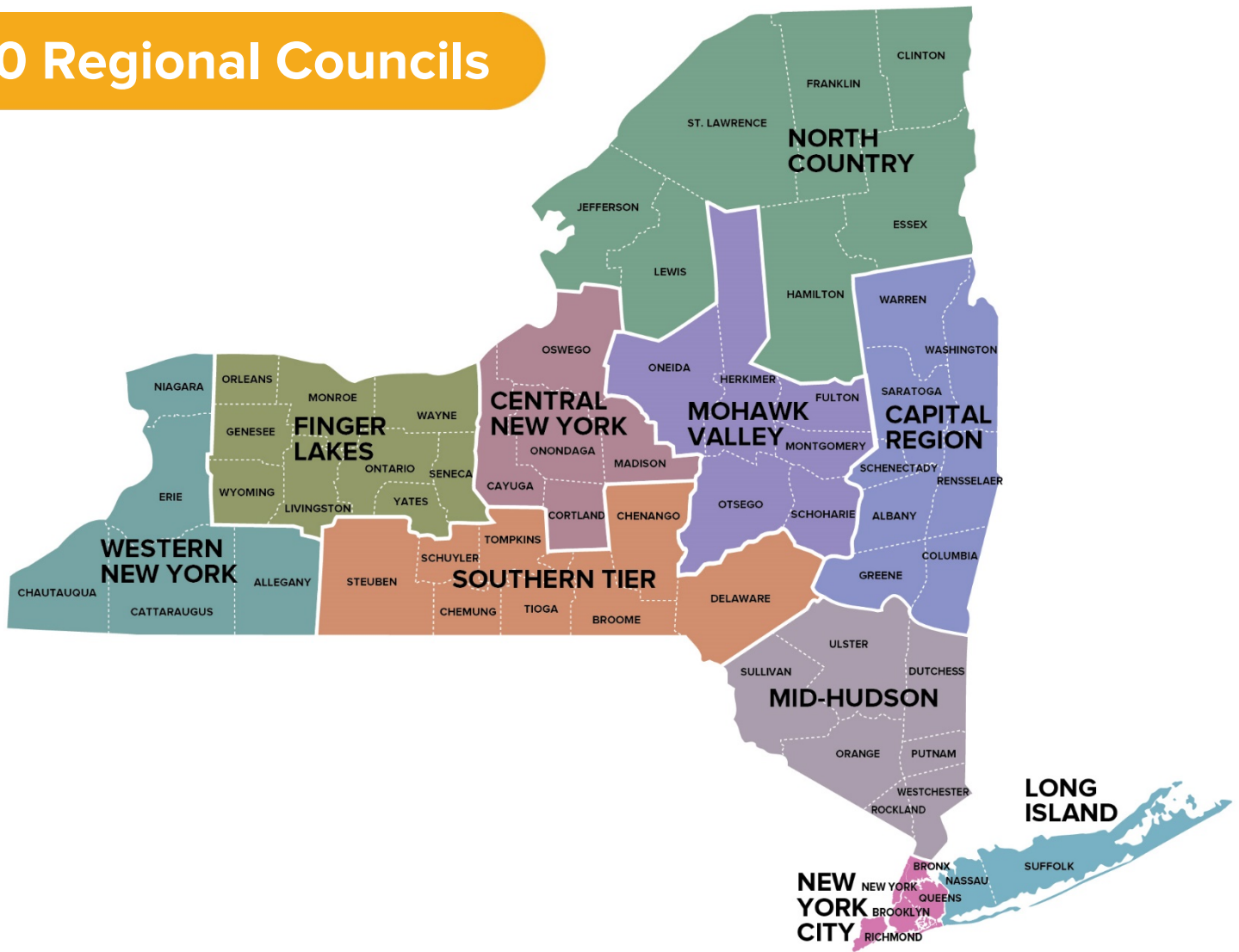
In 2011, Governor Cuomo redesigned the State's economic development strategy through the creation of the Regional Economic Development Councils (REDC). New York State's traditional top-down development strategy was replaced with a bottom-up, innovative approach that empowers regional stakeholders to establish pathways to prosperity, mapped out in regional strategic plans. Through the REDCs, community, business, academic leaders, and members of the public in each region of the state put to work their unique knowledge and understanding of local priorities and assets to help direct state investment in support of job creation and economic growth.

Recognizing the importance of the academic community to economic prosperity, the REDCs facilitate collaboration between business and academia to ensure employer workforce needs are being met, and business support services are being provided to start-up companies seeking to commercialize academic research.

Each Regional Council has become the voice of the region, advising agencies on the programs and projects most valuable to the region. What started as an initiative focused on economic investments has blossomed into a program that invests in people and communities.

Since its inception, the REDCs have awarded over \$6.9 billion to more than 8,300 projects. This strategy has resulted in more than 240,000 new or retained jobs in New York. The REDCs have also played a critical role in identifying where to spend \$400 million in 40 Downtown Revitalization Initiative (DRI) communities. The DRI is a community planning and implementation process where each participating community develops the key ingredients needed for successful downtown revitalization.

10 Regional Councils



Western New York: Allegany, Cattaraugus, Chautauqua, Erie, Niagara

Finger Lakes: Genesee, Livingston, Monroe, Ontario, Orleans, Seneca, Wayne, Wyoming, Yates

Southern Tier: Broome, Chemung, Chenango, Delaware, Schuyler, Steuben, Tioga, Tompkins

Central New York: Cayuga, Cortland, Madison, Onondaga, Oswego

Mohawk Valley: Fulton, Herkimer, Montgomery, Oneida, Otsego, Schoharie

North Country: Clinton, Essex, Franklin, Hamilton, Jefferson, Lewis, St. Lawrence

Capital Region: Albany, Columbia, Greene, Saratoga, Schenectady, Rensselaer, Warren, Washington

Mid-Hudson: Dutchess, Orange, Putnam, Rockland, Sullivan, Ulster, Westchester

New York City: Bronx, Kings, New York, Richmond, Queens

Long Island: Nassau, Suffolk

Regional Council Organization

Leadership

The Lieutenant Governor serves as Chair of each Regional Council. She works with each Regional Council to attract and retain business to create much-needed jobs, and address skills gaps to ensure that New Yorkers, particularly in distressed areas, have access to higher-paying jobs.

Regional Co-Chairs, one representing the business community and one from the academic community, lead each Regional Council. Co-Chairs also lead each Regional Council's Executive Committee. Co-Chair terms are for two years and are renewable at the end of each term.

Regional Council Co-Chairs

Capital Region

Ruth H. Mahoney, Market President, Key Bank – Capital Region

Dr. Havidán Rodríguez, President, University at Albany

Central New York

Randy Wolken, President, Manufacturers Association of Central NY

Deborah Stanley, President, SUNY Oswego

Finger Lakes

Robert Duffy, President & CEO, Greater Rochester Chamber of Commerce

Dr. Denise Battles, President, SUNY Geneseo

Long Island

Kevin Law, Executive Vice President, Tritec

Stuart Rabinowitz, President, Hofstra University

Mid-Hudson

Dr. Donald P. Christian, President, SUNY New Paltz

Mohawk Valley

Lawrence T. Gilroy III, President, Gilroy, Kernan & Gilroy, Inc.

Dr. Marion Terenzio, President, SUNY Cobleskill

New York City

Félix Matos Rodríguez, Chancellor, City University of New York (CUNY)

Winston Fisher, Partner, Fisher Brothers

North Country

James McKenna, CEO, Regional Office of Sustainable Tourism

Dr. Ty Stone, President, Jefferson Community College

Southern Tier

Judy McKinney Cherry, Executive Director, Schuyler County Partnership for Economic Development

Dr. Kevin Drumm, President, Broome County Community College

Western New York

Dr. Katherine Conway-Turner, President, SUNY Buffalo State

Eric Reich, Co-Founder Campus Labs, Chairman, 43 North

Membership

Each Regional Council is made up of regional leaders appointed by the Governor, drawn from a broad spectrum of regional stakeholders representing private business, including small businesses; minority-and women-owned business enterprises (MWBES); non-profit organizations; chambers of commerce and trade organizations; organized labor; higher education; community-based organizations; and the agricultural community. County and local officials, as well as all state legislators, serve as nonvoting, ex-officio members and are strongly encouraged to participate. Council members act in a voluntary, advisory capacity to ensure that projects align with regional strategies. All Regional Council members serve a voluntary two-year term, which may be renewed at the end of each term. Council members are expected to regularly attend meetings and actively participate to advance the goals of the region. Council members receive annual training on the REDC Code of Conduct and are expected to act in the interests of the region and to disclose and avoid any conflicts of interest.

Workgroups

Regional Councils have formed work groups comprised of volunteers to help identify and implement their strategies. Work groups allow for greater involvement of regional stakeholders from industries, communities, and other groups, and provide an additional forum for sharing ideas and information. Regional Councils have formed work groups to advance major goals, strategies, and tasks. Thousands of volunteers are actively engaged implementing development strategies through the work groups.

Local Government Engagement

Engagement of local elected officials is essential in supporting Regional Council strategies and identifying priority projects that will further the economic growth of both individual communities and the entire region. Their participation is critical to implementing the Downtown Revitalization Initiative and improving the regional business climate. Local government representatives are encouraged to engage with the Council and participate in workgroup.

Code of Conduct

The Regional Councils serve in an advisory capacity to the state and, therefore, it is vital that they operate with transparency and that its members are held to the highest levels of integrity. Council members are chosen for their depth of experience, expertise and commitment to their respective regions and represent diverse points of view. To prevent potential conflicts of interest, a Code of Conduct (the full text of the Code can be found at the end of this document) and other related policies have been established to ensure that members act in the best interest of New York State and to prevent the appearance of self-interest during their service on the Councils. Most importantly:

Regional Council members receive annual ethics training from Empire State Development counsel.

The Code of Conduct prohibits members from scoring projects, and from participating in any non-public Regional Council discussions or deliberations where they, or a relative, have a financial, or other interest, as described in the Code of Conduct below, in the matter under consideration.

In order to provide transparency, Regional Council members must complete a Statement of Interest, which requires them to list all entities in which they, or members of their immediate family, have an interest.

Regional Council Priorities in 2021

Regional Strategic Planning Process

Since 2011, the Regional Councils have been guided by their regional strategic economic development plans, which emphasize each region's unique assets and provide strategies to harness local resources to stimulate regional economic development and create jobs statewide. These plans, initially adopted in 2011, continue to be implemented today, with annual updates to address emerging state and regional challenges and opportunities.

Over the past ten years, the Regional Councils have revitalized the state's economy through a bottom-up, community-based, and performance-driven approach to economic development. Through the comprehensive strategic planning process, every region across the state has succeeded in creating private sector jobs, driving private investment, bolstering workforce development, and revitalizing long-neglected cities, towns, and neighborhoods. This year, the expertise of the Councils will be an essential component of the post-COVID recovery.

The unprecedented economic devastation caused by COVID-19 has highlighted the importance of inclusive growth and resilient strategies. Public, private, and civic collaboration has been the cornerstone of this process since its inception and the partnerships forged through the Regional Economic Development Councils will be vital to the recovery of New York's economy.

This year, Regional Councils are asked to return to their plans and consider how their regional vision and goals have been affected by the COVID-19 pandemic. Regional Councils should update and refresh their strategies to reflect the regional COVID-19 impacts. As investments are made in economic recovery, the importance of having a plan that considers the specific resources, needs, and goals of each regional economy will be critical.

The annual report should include focused and actionable goals, along with a clear vision for the region, which will be critical to building back and sustaining recovery. Councils should also consider what actions they can take to implement these strategies.

The overall purpose of each strategic plan is to describe the vision and priorities for the region and how the region will move forward with post-pandemic recovery, to create and retain jobs, attract private sector investments and enhance economic resilience.

Annual reports should include:

- Updated strategies and actions that advance key regional priorities.
- Updated strategies and actions that advance key state priorities.
- Assessment of new regional challenges and recommendations for how they can be addressed by the Council.
- Examples of public outreach and engagement efforts.
- Overview of previously funded projects

The implementation of many regional strategies continues to be accomplished through projects proposed by businesses, local governments, and nonprofit organizations. Regional councils are encouraged to seek strong candidates for State funding available for economic development activities and encourage applicants whose projects would help implement the region's strategic plan.

In addition to submitting an updated strategic plan to the state, Regional Councils will identify and recommend priority projects that will be eligible for up to \$150 million in capital funds on a rolling basis throughout the round. Additionally, each region is eligible for Excelsior Jobs Program tax credits to help attract and grow businesses in the region.

Updated Strategies and Actions Advancing Regional Priorities

Regional Councils should update their existing strategies that advance their regional priorities to reflect the impacts of COVID-19. Long-term regional economic development should continue to be the goal of the strategic plan, with a focus on resilient and sustainable updates to strategies that enable the region to get back on track.

Updated Strategies and Actions Advancing Key State Priorities

Regional Councils have been asked to address various statewide priorities over the years in ways that complement the regional vision. Councils developed strategies to address these priorities, and identified and encouraged applicants to apply for funding through the Consolidated Funding Application (CFA) to implement those strategies.

This year, Regional Councils are asked to provide an overview and update on what the region is doing to support previous statewide priorities. As priorities have evolved over the past ten rounds, regions have continued to focus on those that align with their regional vision and priorities.

Examples of Previous State Priorities:

- Childcare
- Environmental Justice
- Support for community investment in placemaking and downtown revitalization
- Workforce Development
- Life Sciences Cluster
- Regional Economic Cluster Plans
- Business Incubator
- Regional Opportunity Agenda
- Veterans' participation in the workforce

Regions are not required to report on all prior-round statewide priorities. They are encouraged to include priorities on which they continue to focus to advance the regional vision and COVID-19 recovery.

Assessment of New Regional Challenges and Actions Needed for Recovery

The past year has changed the economic landscape for every corner of the globe. As strides are made in public health and mandates begin to lift and economies re-open, they face a new reality, and with it, unprecedented challenges. Regions may be facing challenges their original economic development strategies do not address.

Councils should assess the challenges as they impact the region's economic development strategy. Updated plans should include actionable strategies that can be monitored for progress in both the short and long term. This may include the development of additional workgroups, new stakeholder engagement and an expansion of the project pipeline.

Public Outreach and Engagement Efforts

Local engagement and collaboration are important components of the success of the Regional Councils. In their strategic plans, Regional Councils identified specific strategies to help achieve their vision, and specific projects to stimulate economic investment and growth. Local governments play a critical role in working with the Regional Councils to identify those projects that support the vision for the region. Engagement of the local community is essential in supporting the strategies and identifying priority projects that will further the economic growth of the region.

Regional Councils are asked to continue to encourage public outreach and local government engagement in their strategic plan implementation to improve the regional business climate and report on examples of successful engagement strategies.

Overview of Previously Funded Projects

Regional Councils are asked to continue reporting on projects funded through the Consolidated Funding Application (CFA). A summary of past funded projects should be included as outlined in the Annual Report section and a full list of all funded CFA projects should be included as an appendix.

Round XI

Since 2011 over \$6.9 billion in State funding has been awarded to over 8,300 projects through a competitive process to spur job creation based on regional priorities. This competition has encouraged implementation of the regional strategic economic development plans and has motivated investment opportunities and job creation.

In 2021, the Regional Economic Development Councils will once again compete for a share of up to \$150 million in capital funds and \$75 million in Excelsior Tax Credits.

Funding Sources and Awards

In order to expedite recovery, this year the Regional Councils will be tasked with reviewing applications for projects seeking ESD Grant Funds on a rolling competitive basis, meaning projects will be reviewed throughout the round, and identifying and recommending projects that advance their updated strategic priorities. An emphasis should be placed on project readiness and alignment with the strategic plan. Regions may identify up to \$20 million of ESD Grant Fund projects throughout the year. Projects will be reviewed at least once per quarter and awards will be made available to projects as they are approved until \$150 million is exhausted. Priority project lists will be submitted to the State at the end of each review period, to ensure alignment with state and regional priorities. Funds will be monitored throughout the year and adjustments may be made to ensure resources are being used effectively across all regions. Additionally, regions and projects will also be eligible for a share of \$75 million in Excelsior Tax Credits.

Projects from all 10 regions submitted through the CFA will be eligible for over \$525 million in other state agency funds, which are available on a set timeline. Regional Economic Development Councils will review these projects and provide scores that reflect how well a project aligns with a region's goals and strategies.

Strategic Implementation Assessment Team

Throughout the duration of Round XI, the Strategic Implementation Assessment Team (SIAT) will receive in-person or virtual presentations from the Regional Economic Development Council on the state of the region. Presentations should focus on the implementation of regional strategies through the use of state resources from either past or current Rounds.

CONSOLIDATED FUNDING APPLICATION

An eleventh round of the Consolidated Funding Application (CFA) will be offered in 2021. The CFA is a single application for state economic development resources from numerous state agencies. It is designed to give economic development project applicants expedited and streamlined access to a combined pool of grant funds and tax credits from dozens of existing programs. This year, economic development applicants will find over 30 state programs participating in the CFA, representing a combined pool of grant funds, tax credits and low-cost financing, totaling over \$750 million.

The CFA will open on May 10, 2021 at 9:00 AM for all programs included in the Available Resources section of this document. Applications will be accepted through 4:00 PM on July 30, 2021 for competitive programs subject to the deadline and award announcements will be made in the fall. Open enrollment programs will continue to accept applications on an ongoing basis and are not subject to the July 30 deadline.

Many applications submitted through the CFA involve projects that have been identified by the Regional Councils as critical to advancing the regional vision and strategies. Identifying projects with the greatest impact on advancing state and regional strategies is an important role of the Regional Councils, and members are encouraged to reach out to potential sponsors of priority projects to make them aware of the CFA process and to encourage them to apply for available State funding.

Interested applicants should visit the CFA website for information about programs available through the CFA, including eligibility standards and recorded webinars for each funding source: <https://apps.cio.ny.gov/apps/cfa/>

Statewide CFA Endorsement Standards		
Implementation of the Plan	Degree	Points
The proposal is identified as a priority project by the Regional Council.	Priority	20
The proposal is identified in the plan and has regional benefits.	Very Strong	15
The proposal advances the plan and has local benefits.	Strong	10
The proposal is consistent with the plan and has project level benefits.	Moderate	5
The proposal has limited relationship to the plan.	Weak	0

Each Regional Council will use statewide endorsement standards when reviewing CFAs submitted to their region, considering the degree to which the application implements the

regional strategic plan and aligns with regional priorities. A Regional Council score of 20 represents a priority endorsement by the Council, but does not guarantee funding.

The Regional Council endorsement will account for 20% of the total review, while State agency review will account for 80%. The Regional Council Code of Conduct requires any Regional Council member with a financial interest in a project to recuse themselves from any discussion and review of that application.

Downtown revitalization projects, designed to transform communities ripe for development into vibrant neighborhoods where tomorrow's workforce will want to live, work, and raise families, will be viewed favorably.

Available Resources for Regional Councils in 2021

Programs subject to the 4:00 PM July 30, 2021 Deadline

Empire State Development: Up to \$29.5 million

- Up to \$2 million for Strategic Planning and Feasibility Studies
- Up to \$15 million for Market New York
- Up to \$12.5 million for Business Incubator & Innovation Hot Spot Support Program

Homes and Community Renewal: Up to \$26.2 million

- Up to \$20 million for New York State Community Development Block Grant Program
- Up to \$6.2 million for New York Main Street Program

Office of Parks, Recreation and Historic Preservation: Up to \$21.4 million

- Up to \$19.5 million for Environmental Protection Fund Grants Program for Parks, Preservation and Heritage (EPF)
- Up to \$1.9 million for Recreational Trails Program

Department of State: Up to \$36.25 million

- Up to \$27.75 million for the Local Waterfront Revitalization Program
- Up to \$3.5 million for the Brownfield Opportunity Area Program
- Up to \$1 million for the Smart Growth Comprehensive Planning Grant Program
- Up to \$4 million for Local Government Efficiency Program

New York State Canal Corporation: Up to \$1 million

- Up to \$1 million for the Canalway Grants Program

New York State Energy Research and Development Authority: Up to \$30 million

- Up to \$15 million for Carbon Neutral Economic Development Program
- Up to \$15 million for Commercial and Industrial (C&I) Carbon Challenge

Department of Environmental Conservation: Up to \$79 million

- Up to \$11 million for the Climate Smart Communities Grant Program
- Up to \$65 million for the Water Quality Improvement Project (WQIP) Program
- Up to \$3 million for the Non-Agricultural Nonpoint Source Planning and Municipal Separate Storm Sewer System (MS4) Mapping Grant Program

Environmental Facilities Corporation: Up to \$17.5 million

- Up to \$15 million for the Green Innovation Grant Program
- Up to \$2.5 million for NYS EFC Wastewater Infrastructure Engineering Planning Grant

Open Enrollment Programs

Empire State Development: Up to \$225 million

- Up to \$150 million for ESD Grant Funds
- Up to \$75 million for Excelsior Jobs Program

New York State Energy Research and Development Authority: Up to \$3 million

- Up to \$3 million for Energy Efficiency Programs

New York State Power Authority: Up to 22 Megawatts

- Up to 22 Megawatts for the ReCharge NY Program

Federal Industrial Development Bond Cap: Up to \$300 million

- Up to \$300 million for Industrial Development Bond Cap (IDBC)

Open Enrollment programs will continue to accept applications on an ongoing basis and are not subject to the July 30th deadline.

ANNUAL REPORT

In 2021, Regional Economic Development Councils will be provided with a template that will be used to produce the updated annual report. The outline presented below and explained in the following pages will allow the Regional Councils to provide consistent and informative online reports.

- I. Executive Summary – up to 5 pages**
- II. Strategic Update – up to 20 pages**
 - a. Regional Priorities
 - b. Statewide Priorities
 - c. New Challenges
- III. Participation – up to 5 pages**
 - a. Workgroups
 - b. Public Outreach and Engagement
- IV. Previously Funded CFA Projects – up to 5 pages (not including appendix)**
 - a. Narrative
 - b. Overview of Previously Funded Priority Projects
 - c. Overview of Previously Funded Projects
 - d. (Appendix) List of all Funded CFA Projects

I. EXECUTIVE SUMMARY

- a. **Provide a summary of the Annual Report.** This section should also include the regional vision and a message from the co-chairs.

II. STRATEGIC UPDATE

- a. **Provide updates for key regional priorities, and if applicable, the regional Upstate Revitalization Plan or Buffalo Billion.** Updates for each strategy should include the following:
 - i. Overview of progress made to advance the strategy to date.
 - ii. Assessment of challenges facing each strategy as a result of COVID-19.
 - iii. Proposed updates or changes to existing strategies to meet new challenges and keep the plan on-track.
 - iv. Examples of previously funded projects or types of new projects that could advance the regional strategies.
- b. **Provide updates for key statewide priorities.** Updates for each priority should include the following:
 - i. Overview of progress made to advance the priority to-date.
 - ii. Assessment of challenges facing each priority as a result of COVID-19.

- iii. Proposed updates or changes to the way the Region has been addressing the priority in order to keep the progress on-track.
- iv. Examples of previously funded projects or types of new projects that could address the statewide priority.

c. Provide an assessment of new challenges facing the region.

- i. Provide an overview of the COVID-19 pandemic’s impact on your region, including new challenges facing the region’s long term economic health.
- ii. If applicable, propose new strategies to be adopted into your region’s strategic plan. Strategies should be informed by your regional vision, focused and actionable over both the short and long term.
- iii. Include examples of new types of projects that could advance the new STRATEGIES.

III. PARTICIPATION

a. Workgroups

- i. Describe the workgroups that will be engaged in Regional Council activities during Round XI. This may include the re-structuring of existing workgroups or formation of additional workgroups to address new strategies.







b. Public Outreach and Engagement

- i. Given the realities of the public health requirements of COVID-19, describe how the Council will ensure that stakeholder and local government engagement and public outreach will take place during Round XI.

IV. PREVIOUSLY FUNDED CFA PROJECTS

This section consists of four parts: (1) a narrative; (2) previously funded priority projects; (3) all previously funded CFA projects; and (4) appendix with list of all funded CFA projects.

Project Status Key for Project Status:

-  **Blue** – Project is complete
-  **Green** – Project is on schedule
-  **Yellow** – Project progressing more slowly than anticipated
-  **Red** – Project concerns need to be resolved
-  **Orange** – Project contract not yet executed
-  **Black** – Project cancelled or funding declined

- 1. **Narrative** – Provide a brief narrative highlighting key statistics from the required summary tables below.

2. Previously Funded Priority Projects

- a. Summary Status of All Past Priority Projects** – Provide a table, chart or pie chart showing the aggregate status of all priority projects that received CFA awards from 2011 to 2019. Include projects that were cancelled, terminated, or where the award was declined. It is not necessary to provide the status of individual priority projects. For each CFA round show:
- The status of priority projects using the color code/project status category as defined above.
 - The total number of awards for all years.
 - The percentage of total projects by status using the same color code/project status category.
- b. Leverage of State Investment in All Past Priority Projects** – Provide a table, chart or pie chart showing the information listed below relating to priority projects only. Exclude from the calculations priority projects that were cancelled, terminated, or where the award was declined. Include a note about that exclusion on the chart. For each CFA Round show for the region:
- The total number of CFA priority projects funded in that round.
 - The total project cost for all CFA priority projects funded in that round.
 - The total amount of ESD Capital Fund awards made in that round.
 - The ratio of total project cost to total ESD Capital Fund awards for all priority projects in that round.
- A region may choose to include an additional column showing the return on state investment which includes 5-year payroll numbers or total CFA awards made to the region, but the 5-year payroll number should not be used in calculating the ratio of total project cost to total ESD Capital Fund awards.
- c. Geographic Distribution of Past Priority Projects** – Provide a graphic of the region that illustrates the geographic distribution of each past priority project.

3. All Previously Funded CFA Projects

- a. Summary Status of All Past Projects** - Provide a table showing the aggregate status of all projects that received CFA awards from 2011 to 2019, including the priority projects. Include projects that were cancelled, terminated, or where the award was declined. It is not necessary to provide the status of individual projects. For each CFA round show:
- The status of projects using the color code/project status category as used for priority projects.

- The total number of awards for all years.
- The percentage of total projects by status using the same color code/project status category.

b. Leverage of State Investment in All CFA Projects - Provide a chart showing the information listed below relating to all projects awarded through the CFA, including priority projects. Exclude from the calculations projects that were cancelled, terminated, or where the award was declined. Note that exclusion in a footnote to the chart. For each CFA round show:

- The total number of CFA projects in that round.
- The total amount of CFA awards made for projects in that round.
- The total project cost for all projects in that round.
- The ratio of total project cost to total CFA awards for all projects in that round.

c. Job Creation - Provide a chart showing the information listed below relating to all projects awarded through the CFA, including priority projects. Exclude from the calculations projects that were cancelled, terminated, or where the award was declined. Please indicate if the numbers are actual or projected, and be sure to adjust the numbers based on current projections or project terminations. If the Regional Council chooses to include estimates of indirect jobs, that estimate should be clearly distinguished from direct jobs. For each CFA round show:

- The total number of jobs created.
- The total number of jobs retained, if applicable.

4. Appendix with List of All Funded CFA Projects

a. Include a list of all CFA projects funded in the past nine rounds. Include all projects that were announced in the REDC Awards booklet, including projects that were cancelled, terminated, or where the award was declined. The following information should be provided for each project:

- CFA Number
- Round Number
- Applicant name
- Project name
- Agency and Program
- Award Amount
- Total Project Cost
- Funds disbursed to-date
- Status (indicated by color)

Regional Economic Development Councils

CODE OF CONDUCT

In 2011, Governor Andrew M. Cuomo established 10 Regional Economic Development Councils (the “Councils”) to develop long-term strategic plans for economic growth for their regions. The Councils are public-private partnerships made up of local experts and stakeholders from business, academia, local government, and non-governmental organizations and are advisory in nature. This Code of Conduct describes the ethical responsibilities of Members of the Councils.

This Code does not supersede or replace any other applicable laws, regulations, or requirements.

Section 1. Code of Ethics

- 1. Conflicts of Interest:** Members shall avoid actual and potential conflicts of interest and shall not allow their personal interests, financial or otherwise, or those of a Relative, to interfere with, or appear to interfere with, their independent advice as a Member.
- 2. Confidential Information:** Members shall not disclose information obtained as a result of Council membership that is not otherwise public, and shall not use information to further their own interests or those of another Member or a Relative.
- 3. Unwarranted Privileges:** Members shall not use or attempt to use their position on the Council to secure unwarranted privileges for themselves, any other person, or any entity.

Section 2. Disclosure and Recusals

- 1. Statement of Interest Form:** Within 30 days of appointment to the Council, and every year, each Member shall submit to the Regional Council Chair a written statement (the “Statement of Interest Form”) identifying any entity, enterprise, or real property (excluding personal residences), in which he or she, a spouse or unemancipated child, has an interest, whether as an owner, officer, director, employee, Investor, or consultant.
- 2. Recusal:** No Member shall participate in any Council discussion or vote, attempt to influence such discussion or vote, or review materials provided to the Council or distribute materials to the Council relating to any entity where such Member or Relative has an interest as a board member, owner, officer, employee, or Investor in the entity or in a potential competitor, or where such Member or Relative has a financial interest in the matter. No Member shall attend such Council discussions or votes unless such discussions or votes are taking place as part of a meeting or proceeding open to the public.

Section 3. Definitions

- 1. “Member”** means any member of any of the Regional Economic Development Councils.

2. **“Relative”** includes any person living in the same household as the Member, or the spouse, parent, child, or sibling of a Member.
3. A Member is an **“Investor”** in an enterprise if he or she has provided money or resources to that enterprise; however, investments in mutual funds, index funds and investments in publicly traded stock are not included in the definition of Investor for purposes of this Code of Conduct.

Section 4. Ethics Officer

ESD’s Ethics Counsel shall serve as Ethics Officer for the Council. If a Member is unsure if he or she has an actual or potential conflict of interest, or has any other questions regarding the interpretation and application of this Code of Conduct, the Member should contact the Ethics Officer for guidance. Members are encouraged to disclose known relationships and potential conflicts of Interest to prevent even the appearance of impropriety.

Section 5. Acknowledgment

I have read the foregoing, and I agree to comply with and be bound by, the Regional Economic Development Council Code of Conduct.

Print Name

Signature

Date



**Regional Economic
Development Councils**