



Regional Economic Development Councils



2022

REDC GUIDEBOOK

A Division of Empire State Development

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INTRODUCTION

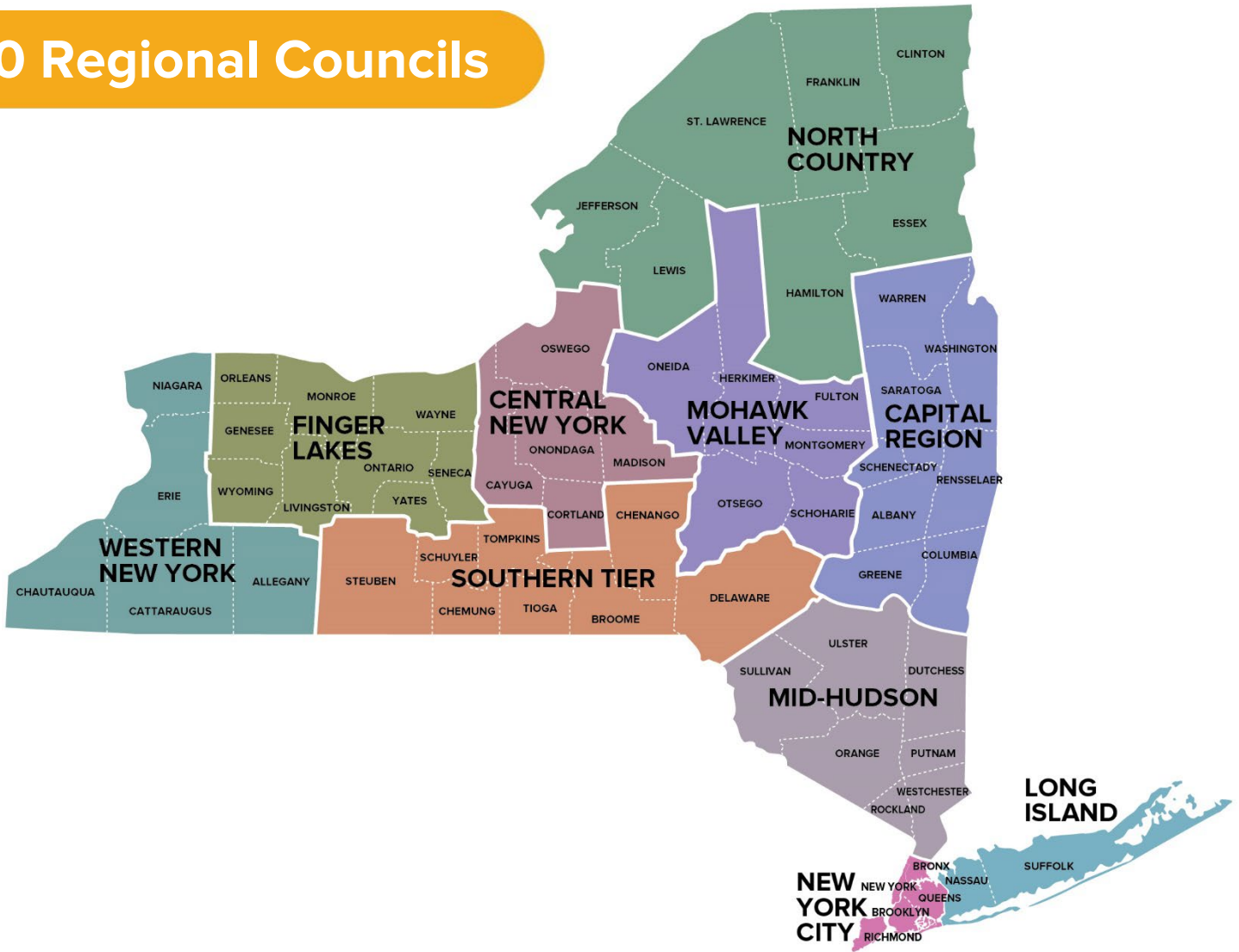
The Regional Economic Development Councils (REDCs) support the state's innovative approach to economic development, which empowers regional stakeholders to establish pathways to prosperity, mapped out in regional strategic plans. Through the REDCs, community, business, academic leaders, and members of 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 that employer workforce needs are being met and business support services are available 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 its stakeholders. What started as an initiative focused on economic investments has blossomed into a program that invests in people and communities. Under Governor Hochul's leadership, the State is committed to continuously improving the REDC process and maximizing impact throughout the state.

Since its inception, the REDC Initiative has awarded over \$7.5 billion to more than 9,200 projects. The REDCs have also played a critical role in identifying where to spend \$600 million in nearly 60 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. Now entering its sixth year, REDCs will again identify the communities that will benefit from \$100 million in state investment through the traditional DRI Program, as well as smaller and more rural areas that will benefit from another \$100 million via the new NY Forward program. As in past years, each Council will appoint an REDC member to co-chair its local planning committee. Additionally, the REDCs will continue to play a critical role in other state initiatives such as the Upstate Revitalization Initiative and Better Buffalo Fund.

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

Regional Council Co-Chairs

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.

Capital Region

Ruth H. Mahoney, President of Wealth Management, NBT Bancorp
Dr. Havidán Rodríguez, President, University at Albany

Central New York

Randy Wolken, President, Manufacturers Association of Central NY
Dr. Linda LeMura, President, LeMoyne College

Finger Lakes

Robert Duffy, President & CEO, Greater Rochester Chamber of Commerce
Dr. Denise Battles, President, SUNY Geneseo

Long Island

John Nader, President, Farmingdale Community College
Linda Armin, Senior Vice President of Corporate Affairs, Bethpage Federal Credit Union

Mid-Hudson

Dr. Kristine Young, President, SUNY Orange
Dr. Marsha Gordon, President & CEO, The Business Council of Westchester

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 2022

Regional Strategic Planning Process

The Regional Councils are 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. The Regional Councils support the State's 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.

Under Governor Hochul's leadership, the State is continuously improving the Regional Council process to maximize impact in each region. This includes measures to provide transparency, streamlining the work of the REDCs, and renewing the REDC focus on workforce development as a pillar of economic growth. This year, the REDCs will:

- Develop an annual report to highlight the state of the region, identify workforce needs, engage with local stakeholders, and provide an update on past awards;
- Continue to adhere to the Code of Conduct, including submitting statement of interest forms and documenting recusals prior to reviewing any projects. All project recusals will be circulated to all members to further ensure that communications and undue influence do not occur, and they will be made public at the end of the round;
- Review and score projects from ESD and other state agency programs. In an effort to streamline the work of the REDCs, agency programs included in the Initiative have been re-evaluated and Councils will be made aware of projects applying to certain state agency programs versus scoring them; and
- Partner with the new Office of Strategic Workforce Development at ESD to identify the regional workforce needs in tradable sectors along with strategies to ensure that employers in growing industries have access to the high-quality, skilled labor needed for the region and state to be competitive.

The unprecedented economic devastation caused by COVID-19 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 continue to be vital to the recovery of New York's economy.

In 2021, Regional Councils were asked to revisit their plans to consider how their regional vision and goals have been affected by the COVID-19 pandemic. Each Regional Council updated and refreshed their strategies to reflect the regional COVID-19 impacts. These plans will continue to provide a clear vision for the region to ensure a sustainable economic recovery continues to occur.

This year, Regional Councils are asked to provide an annual report highlighting the state of the region, a “Regional Workforce Inventory” of workforce needs as a result of pandemic, public outreach and engagement efforts and a summary previous awards made through the Regional Council Initiative. The goal of the annual report will be to showcase the regions’ continued focus on post-pandemic recovery efforts, including job creation and retention; the attraction of private sector investment; economic resilience enhancements; and the workforce development investments and improvements.

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 annual report 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, they will recommend priority projects for a share of \$75 million in Excelsior Tax Credits to help attract and grow business in the region. For state agency programs that are reviewed and scored by the REDCs, Regional Councils will review these projects and provide a score that reflects how well each project aligns with their region’s goals and strategies.

Regional Workforce Inventory

In 2022, Governor Hochul created a new Office of Strategic Workforce Development was created at ESD to build on the agency’s expertise in working with businesses in the state and better connect economic development efforts with workforce training to ensure that employers in growing industries have access to the high-quality, skilled labor needed to be competitive. It will prioritize workforce development funding for \$150 million in programs to be offered later this year that provide training for jobs in the statewide target industry sectors as well as those in each region’s tradable sectors locally identified by each region as ripe for growth.

The new Office will utilize the expertise of the Regional Councils, who possess the local knowledge of workforce needs, trends, and opportunities, to work in collaboration with the State on this effort. Regional Councils will create a “Regional Workforce Inventory” that identifies the region’s post-pandemic workforce needs and includes the following:

- 1) The priority regional tradable sectors and/or statewide target industries for targeting workforce development training programs.
- 2) The most in-demand skill sets needed by employers.
- 3) Populations for whom workforce training is most needed.
- 4) The types of wraparound services most needed.

To support developing this inventory, NYS Department of Labor (DOL) and ESD collaborated to release a survey to employers across the state to collect information on their post-pandemic workforce challenges which will be used to develop the Regional Workforce Inventory for each region. Regional Councils will also be provided results from a recent DOL survey targeting job seekers across the state and regional labor force information which Councils will use to collaborate with regional stakeholders to develop an overview of the region's workforce development needs and identify gaps that need to be addressed.

Each Regional Workforce Inventory will serve as a guide for ESD when reviewing applications to the new ESD-administered workforce development grant programs that will be offered later this year to ensure proposals submitted and awarded in each region will help address gaps in current services as identified by the inventory. Each Inventory will also serve as a guide for potential applicants for these new programs to outline the gaps that need to be addressed.

Later this summer, Regional Councils will be asked to select several of the regional tradable sectors from the Inventory and develop a strategy document that will create a roadmap for how to address the workforce needs and opportunities within these selected sectors for the region. Additional guidelines and information on this next phase will be provided to Regional Councils during the summer.

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 XII

Since the inception of the REDC Initiative, over \$7.5 billion in State funding has been awarded to over 9,200 projects through a competitive process to spur job creation based on regional priorities. This initiative has encouraged implementation of the regional strategic economic development plans and has motivated investment opportunities and job creation.

In 2022, 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

This year the Regional Councils will again 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 Councils will identify and recommend projects that advance their strategic priorities as outlined in their 2021 progress reports. 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 to help attract and grow business in the region.

Projects from all 10 regions submitted through the CFA will be eligible for funding from other state agency programs. As outlined in the Available Resources section, for certain agency programs this year, REDCs will be made aware of projects applying to these programs but REDCs will not score projects that have applied to these programs. For programs that are reviewed and scored by the REDCs, Councils will review projects from these programs and provide scores that reflect how well a project aligns with a region's goals and strategies.

CONSOLIDATED FUNDING APPLICATION

A twelfth round of the Consolidated Funding Application (CFA) will be offered in 2022. 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 which include a combination of grant funds and tax credits.

The CFA will open on May 2, 2022 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 29, 2022 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 29 4:00 PM 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

For projects being scored by REDCs, 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.

Available Resources for Regional Councils in 2022

Programs subject to the 4:00 PM July 29, 2022 Deadline

Empire State Development: Up to \$25.125 million

- Up to \$15 million for Market New York
- Up to \$8.125 million for Business Incubator & Innovation Hot Spot Support Program
- *Up to \$2 million for Strategic Planning and Feasibility Studies**

Homes and Community Renewal: Up to \$24.2 million

- Up to \$4.2 million for New York Main Street Program
- *Up to \$20 million for New York State Community Development Block Grant Program**

Office of Parks, Recreation and Historic Preservation: Up to \$20.875 million

- Up to \$20.875 million for Environmental Protection Fund Grants Program for Parks, Preservation and Heritage (EPF)

Department of State: Up to \$26.3 million

- Up to \$16.3 million for the Local Waterfront Revitalization Program
- Up to \$4 million for the Brownfield Opportunity Area Program
- *Up to \$2 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 Department of Agriculture & Markets: Up to \$5.8 million

- Up to \$5.8 million for the NYS Grown & Certified Infrastructure, Technology & R&D Program

New York State Energy Research and Development Authority: Up to \$25 million

- Up to \$10 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 \$92 million*

- *Up to \$14 million for the Climate Smart Communities Grant Program**
- *Up to \$75 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 \$18 million*

- *Up to \$15 million for the Green Innovation Grant Program**
- *Up to \$3 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 \$2 million*

- *Up to \$2 million for Energy Efficiency Programs**

New York State Power Authority: Up to 17.9 Megawatts

- Up to 17.9 Megawatts for the ReCharge NY Program

Federal Industrial Development Bond Cap: Up to \$150 million*

- *Up to \$150 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 29th deadline.

**REDCs will be made aware of projects applying to these programs but REDCs will not score these projects.*

ANNUAL REPORT

In 2022, Regional Economic Development Councils will be provided with a template that will be used to produce the 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 & State of the Region – up to 5 pages**
- II. Regional Workforce Inventory – up to 8 pages**
 - a. Priority Regional Tradable Sectors
 - b. In-Demand Skill Sets Needs
 - c. Populations for Workforce Training
 - d. Wraparound Services
- 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 & State of the Region

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

II. Regional Workforce Inventory

a. Priority Regional Tradable Sectors

- i. Identify the priority regional tradable sectors and/or statewide target industries for focusing workforce development efforts in the region. Regional Councils should identify at least the top 3-4 for the region and provide reasons for prioritizing these industries and sectors.

b. In-Demand Skill Sets Needs

- i. Identify the most in-demand skill sets needed by employers in the region within these regional sectors/industries and provide an explanation of how this conclusion was made citing engagement or feedback from employers in the industry.

c. Populations for Workforce Training

- i. Identify the populations for whom workforce training is most needed.

d. Wraparound Services

- i. Identify the types of wraparound services most needed to reach the target populations and eliminate traditional barriers to successfully completing such training.

III. PARTICIPATION

a. Workgroups

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







b. Public Outreach and Engagement

- i. Describe how stakeholders and other members of the public are engaged in the Regional Council process.

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 2021. 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 2021, 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, ten Regional Economic Development Councils (the “Councils”) were created 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. Note that beginning this year, project recusals will be circulated to all members to further ensure that communications and undue influence do not occur.

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**