

5291

2015-2016 Regular Sessions

I N A S S E M B L Y

February 17, 2015

Introduced by M. of A. BARCLAY, KOLB, HAWLEY, WALTER, OAKS, MONTESANO,
FINCH, CORWIN -- read once and referred to the Committee on Govern-
mental Operations

AN ACT to amend the legislative law, in relation to creating an assembly
standing committee on ethics and guidance

THE PEOPLE OF THE STATE OF NEW YORK, REPRESENTED IN SENATE AND ASSEM-
BLY, DO ENACT AS FOLLOWS:

- 1 Section 1. The legislative law is amended by adding a new section 68
2 to read as follows:
3 S 68. ASSEMBLY STANDING COMMITTEE ON ETHICS AND GUIDANCE. 1. THERE IS
4 ESTABLISHED A STANDING COMMITTEE IN THE ASSEMBLY ON ETHICS AND GUIDANCE
5 WHICH SHALL REPLACE THE STANDING COMMITTEE ON ETHICS AND GUIDANCE AS
6 ESTABLISHED BY THE RULES OF THE ASSEMBLY. THE COMMITTEE SHALL CONSIST OF
7 AN EQUAL NUMBER OF MAJORITY AND MINORITY MEMBERS FOR A TOTAL OF EIGHT
8 MEMBERS. THE EIGHT MEMBERS SHALL BE MEMBERS OF THE ASSEMBLY AND
9 APPOINTED AS FOLLOWS: FOUR BY THE SPEAKER OF THE ASSEMBLY AND FOUR BY
10 THE MINORITY LEADER OF THE ASSEMBLY.
11 2. THE COMMITTEE SHALL SERVE AS DESCRIBED IN THIS SECTION AND HAVE AND
12 EXERCISE THE POWERS AND DUTIES SET FORTH IN THIS SECTION ONLY WITH
13 RESPECT TO MEMBERS OF THE ASSEMBLY AND ASSEMBLY EMPLOYEES.
14 3. MEMBERS OF THE ASSEMBLY WHO SERVE ON THE COMMITTEE SHALL EACH HAVE
15 A TWO YEAR TERM CONCURRENT WITH THEIR LEGISLATIVE TERMS OF OFFICE.
16 4. MEMBERS OF THE COMMITTEE MAY ONLY BE REMOVED BY A MAJORITY VOTE OF
17 THE COMMITTEE SOLELY FOR SUBSTANTIAL NEGLECT OF DUTY, GROSS MISCONDUCT
18 IN OFFICE, VIOLATION OF THE CONFIDENTIALITY RESTRICTIONS IN THIS
19 SECTION, INABILITY TO DISCHARGE THE POWERS OR DUTIES OF OFFICE OR
20 VIOLATION OF THIS SECTION, AFTER WRITTEN NOTICE AND OPPORTUNITY FOR A
21 REPLY.
22 5. THE SPEAKER OF THE ASSEMBLY AND THE MINORITY LEADER OF THE ASSEMBLY
23 SHALL EACH DESIGNATE ONE MEMBER OF THE COMMITTEE AS A CO-CHAIRPERSON

EXPLANATION--Matter in *ITALICS* (underscored) is new; matter in brackets
[] is old law to be omitted.

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1 THEREOF. THE CO-CHAIRPERSONS SHALL RECEIVE COMPENSATION AS PROVIDED FOR
2 IN SECTION FIVE-A OF THIS CHAPTER.

3 6. THE COMMITTEE SHALL MEET AT LEAST BI-MONTHLY AND AT SUCH ADDITIONAL
4 TIMES AS MAY BE CALLED FOR BY THE CO-CHAIRPERSONS JOINTLY OR ANY FOUR
5 MEMBERS OF THE COMMITTEE.

6 7. ANY VACANCY OCCURRING ON THE COMMITTEE SHALL BE FILLED WITHIN THIR-
7 TY DAYS BY THE APPOINTING AUTHORITY.

8 8. FIVE MEMBERS OF THE COMMITTEE SHALL CONSTITUTE A QUORUM, AND THE
9 COMMITTEE SHALL HAVE POWER TO ACT BY MAJORITY VOTE OF THE TOTAL NUMBER
10 OF MEMBERS OF THE COMMITTEE WITHOUT VACANCY.

11 9. THE COMMITTEE SHALL BE FUNDED SEPARATELY FROM THE ASSEMBLY APPRO-
12 PRIATIONS PROVIDED ANNUALLY IN AN AMOUNT DEEMED APPROPRIATE BY AN AGREE-
13 MENT OF THE CO-CHAIRS FOR THE MAINTENANCE AND OPERATION OF THE COMMIT-
14 TEE. SUCH APPROPRIATION FOR THE COMMITTEE SHALL BE SPECIFICALLY LINED
15 OUT IN THE LEGISLATIVE BUDGET. THE EXECUTIVE DIRECTOR AND EMPLOYEES OF
16 THE COMMITTEE SHALL BE CONSIDERED AS EMPLOYEES OF THE ASSEMBLY FOR ALL
17 PURPOSES.

18 10. THE COMMITTEE SHALL:

19 (A) APPOINT AN EXECUTIVE DIRECTOR WHO SHALL ACT IN ACCORDANCE WITH THE
20 POLICIES OF THE COMMITTEE, PROVIDED THAT THE COMMITTEE MAY REMOVE THE
21 EXECUTIVE DIRECTOR BY A MAJORITY VOTE FOR NEGLECT OF DUTY, MISCONDUCT IN
22 OFFICE, OR INABILITY OR FAILURE TO DISCHARGE THE POWERS OR DUTIES OF
23 OFFICE;

24 (B) APPOINT SUCH OTHER STAFF AS ARE NECESSARY TO ASSIST IT TO CARRY
25 OUT ITS DUTIES UNDER THIS SECTION;

26 (C) ADOPT, AMEND, AND RESCIND POLICIES, RULES AND REGULATIONS CONSIST-
27 ENT WITH THIS SECTION TO GOVERN PROCEDURES OF THE COMMITTEE;

28 (D) ADMINISTER THE PROVISIONS OF THIS SECTION;

29 (E) REVIEW ALL RULES AND POLICIES OF THE SPEAKER OR THE ASSEMBLY
30 RELATING TO CONDUCT OF MEMBERS AND EMPLOYEES OF THE ASSEMBLY, INCLUDING
31 BUT NOT LIMITED TO ETHICS, SEXUAL HARASSMENT AND FRATERNIZATION WITH
32 STUDENT INTERNS, AND RECOMMEND TO THE SPEAKER OF THE ASSEMBLY AND THE
33 MINORITY LEADER OF THE ASSEMBLY ANY CHANGES TO SUCH RULES AND POLICIES
34 OR OFFER MOTIONS TO AMEND RULES OF THE ASSEMBLY, OR OFFER MOTIONS TO
35 SUSPEND RULES OF THE ASSEMBLY, OR ADOPT POLICIES RELATING TO CONDUCT OF
36 MEMBERS AND EMPLOYEES OF THE ASSEMBLY, INCLUDING BUT NOT LIMITED TO
37 ETHICS, SEXUAL HARASSMENT AND FRATERNIZATION WITH STUDENT INTERNS. ANY
38 SUCH POLICY RELATING TO CONDUCT OF MEMBERS AND EMPLOYEES OF THE ASSEMBLY
39 ADOPTED BY THE COMMITTEE SHALL BE THE POLICY OF THE ASSEMBLY AND SUBJECT
40 TO THE PROVISIONS OF THIS SECTION;

41 (F) DEVELOP AND REGULARLY UPDATE A COURSE OF INSTRUCTION FOR ALL
42 MEMBERS AND EMPLOYEES OF THE ASSEMBLY WITH REGARD TO THE LAWS AND POLI-
43 CIES GOVERNING THEIR CONDUCT. THE COMMITTEE SHALL RECOMMEND TO THE
44 SPEAKER OF THE ASSEMBLY AND THE MINORITY LEADER OF THE ASSEMBLY A
45 CONDUCT AND ETHICS TRAINING PLAN FOR IMPLEMENTING AND SCHEDULING SUCH
46 COURSE OF INSTRUCTION FOR MEMBERS, EMPLOYEES AND NEWLY-HIRED EMPLOYEES;

47 (G) PREPARE AN ANNUAL REPORT TO THE SPEAKER OF THE ASSEMBLY AND THE
48 MINORITY LEADER OF THE ASSEMBLY SUMMARIZING THE ACTIVITIES OF THE
49 COMMITTEE DURING THE PREVIOUS YEAR AND RECOMMENDING ANY CHANGES IN THE
50 LAWS GOVERNING THE CONDUCT OF PERSONS SUBJECT TO THE JURISDICTION OF THE
51 COMMITTEE, OR THE RULES, REGULATIONS AND PROCEDURES GOVERNING THE
52 COMMITTEE'S CONDUCT. SUCH REPORT SHALL INCLUDE: (I) A LISTING BY
53 ASSIGNED NUMBER OF EACH COMPLAINT INCLUDING CURRENT STATUS OF EACH
54 COMPLAINT, (II) WHERE A MATTER WAS DEFERRED, AND (III) WHERE A MATTER
55 HAS BEEN RESOLVED, THE DATE AND NATURE OF THE DISPOSITION AND ANY SANC-

1 TION IMPOSED, SUBJECT TO THE CONFIDENTIALITY REQUIREMENTS OF THIS
2 SECTION; AND

3 (H) INVESTIGATE COMPLAINTS AND IMPOSE DISCIPLINARY MEASURES AGAINST
4 MEMBERS AND EMPLOYEES FOUND IN VIOLATION OF RULES AND POLICIES OF THE
5 SPEAKER OR THE ASSEMBLY OR THE PUBLIC OFFICERS LAW OR OTHER LAW.

6 11. INVESTIGATIONS, MANDATORY REPORTING OF VIOLATIONS, AND ENFORCEMENT
7 AUTHORITY:

8 (A) THE COMMITTEE SHALL HAVE THE AUTHORITY, ON ITS OWN ACCORD, TO
9 INITIATE BY A MAJORITY VOTE AN INVESTIGATION INTO A POSSIBLE VIOLATION,
10 BY ANY MEMBER OR EMPLOYEE OF THE ASSEMBLY, OF THE RULES OR POLICY OF THE
11 SPEAKER OR THE ASSEMBLY OR OF THE PUBLIC OFFICERS LAW OR OTHER LAW.

12 (B) ANY FORMAL OR INFORMAL COMPLAINT OF A VIOLATION OF RULES AND POLI-
13 CIES OF THE SPEAKER OR THE ASSEMBLY RELATING TO CONDUCT OF MEMBERS AND
14 EMPLOYEES OF THE ASSEMBLY OR OF A VIOLATION OF THE PUBLIC OFFICERS LAW
15 OR OTHER LAW, MUST BE REPORTED TO THE COMMITTEE WITHIN FIVE DAYS OF SUCH
16 COMPLAINT BEING MADE TO COUNSEL, OFFICE OF HUMAN RESOURCES, OFFICE OF
17 ADMINISTRATION AND PERSONNEL OR INTAKE REPRESENTATIVE.

18 (C) THE COMMITTEE SHALL REVIEW SUCH COMPLAINT AT THE NEXT MEETING OF
19 SUCH COMMITTEE AND DETERMINE BY MAJORITY VOTE WHETHER TO INVESTIGATE
20 SUCH COMPLAINT FURTHER, COMMENCE A FULL FORMAL INVESTIGATION OF SUCH
21 COMPLAINT OR DEFER SUCH COMPLAINT TO THE JOINT COMMISSION ON PUBLIC
22 ETHICS, THE LEGISLATIVE ETHICS COMMISSION, OR AN APPROPRIATE PROSECUTOR.
23 THE STAFF OF THE COMMITTEE SHALL PROVIDE TO THE MEMBERS OF THE COMMITTEE
24 PRIOR TO SUCH VOTE INFORMATION REGARDING THE LIKELY SCOPE AND CONTENT OF
25 THE INVESTIGATION, AND A SUBPOENA PLAN, TO THE EXTENT SUCH INFORMATION
26 IS AVAILABLE.

27 (D) IF THE COMMITTEE DETERMINES BY MAJORITY VOTE THAT A FULL FORMAL
28 INVESTIGATION SHALL COMMENCE THE COMMITTEE SHALL NOTIFY THE INDIVIDUAL
29 IN WRITING, DESCRIBE THE POSSIBLE OR ALLEGED VIOLATION OF RULES AND
30 POLICIES OF THE SPEAKER OR THE ASSEMBLY RELATED TO CONDUCT OF MEMBERS
31 AND EMPLOYEES OF THE ASSEMBLY OR OF A VIOLATION OF THE PUBLIC OFFICERS
32 LAW OR OTHER LAW AND PROVIDE THE PERSON WITH A FIFTEEN DAY PERIOD IN
33 WHICH TO SUBMIT A WRITTEN RESPONSE SETTING FORTH INFORMATION RELATING TO
34 THE ACTIVITIES CITED AS A POSSIBLE OR ALLEGED VIOLATION OF SUCH RULES
35 AND POLICIES.

36 (E) THE COMMITTEE HAS THE AUTHORITY TO CONDUCT ANY INQUIRY PERTINENT
37 OR MATERIAL TO THE DISCHARGE OF THE FUNCTIONS, POWERS AND DUTIES IMPOSED
38 BY LAW; AND THROUGH DESIGNATED MEMBERS OF THE STAFF, TO SUBPOENA
39 WITNESSES, ADMINISTER OATHS, TAKE TESTIMONY AND COMPEL THE PRODUCTION OF
40 SUCH BOOKS, PAPERS, RECORDS AND DOCUMENTS AS MAY BE RELEVANT TO ANY SUCH
41 INQUIRY AND INVESTIGATION.

42 (F) IF THE COMMITTEE DETERMINES AT ANY STAGE THAT THERE IS NO
43 VIOLATION, IT SHALL SO ADVISE THE INDIVIDUAL AND THE COMPLAINANT, IF
44 ANY. ALL OF THE FOREGOING PROCEEDINGS SHALL BE CONFIDENTIAL.

45 (G) THE JURISDICTION OF THE COMMITTEE WHEN ACTING PURSUANT TO THIS
46 SECTION SHALL CONTINUE NOTWITHSTANDING THAT A MEMBER OF THE ASSEMBLY OR
47 ASSEMBLY EMPLOYEE SEPARATES FROM ASSEMBLY SERVICE, PROVIDED THAT THE
48 COMMITTEE NOTIFIES SUCH INDIVIDUAL OF THE ALLEGED VIOLATION OF RULES AND
49 POLICIES OF THE SPEAKER OR THE ASSEMBLY RELATING TO CONDUCT OF MEMBERS
50 AND EMPLOYEES OF THE ASSEMBLY OR OF A VIOLATION OF THE PUBLIC OFFICERS
51 LAW PURSUANT TO PARAGRAPH (C) OF THIS SUBDIVISION WITHIN ONE YEAR FROM
52 HIS OR HER SEPARATION FROM ASSEMBLY SERVICE.

53 (H) IF DURING THE COURSE OF ITS INVESTIGATION THE COMMITTEE DEEMS THAT
54 A VIOLATION OF RULES AND POLICIES OF THE SPEAKER OR THE ASSEMBLY RELATED
55 TO CONDUCT OF MEMBERS AND EMPLOYEES OF THE ASSEMBLY OR A VIOLATION OF

1 THE PUBLIC OFFICERS LAW OR OTHER LAW HAS OCCURRED, THE COMMITTEE SHALL
2 NOTIFY THE INDIVIDUAL IN WRITING.

3 (I) THE COMMITTEE SHALL HAVE THE AUTHORITY TO (I) RECOMMEND PUNISH-
4 MENTS FOR VIOLATIONS OF RULES AND POLICIES OF THE SPEAKER OR THE ASSEM-
5 BLY, OR THE PUBLIC OFFICERS LAW OR OTHER LAW, INCLUDING BUT NOT LIMITED
6 TO CENSURE, STRIPPING MEMBERS OF LEADERSHIP POSITIONS OR EXPULSION
7 PURSUANT TO SECTION THREE OF THIS CHAPTER AND (II) ACCESS PENALTIES
8 PURSUANT TO APPLICABLE LAW OR RULE.

9 (J) NO MEMBER OR EMPLOYEE OF THE ASSEMBLY SHALL TAKE ANY ADVERSE
10 PERSONNEL ACTION WITH RESPECT TO ANOTHER MEMBER OR EMPLOYEE OF THE
11 ASSEMBLY IN RETALIATION FOR HIS OR HER MAKING A REPORT TO THE COMMITTEE,
12 OR FOR HIS OR HER OFFICIAL DUTIES AS A MEMBER OF THE COMMITTEE, CONCERN-
13 ING CONDUCT WHICH HE OR SHE KNOWS OR REASONABLY BELIEVES TO BE A
14 VIOLATION OF RULES AND POLICIES OF THE SPEAKER OR THE ASSEMBLY OR THE
15 PUBLIC OFFICERS LAW OR OTHER LAW.

16 (K) NOTWITHSTANDING THE PROVISIONS OF ARTICLE SIX OF THE PUBLIC OFFI-
17 CERS LAW, THE ONLY RECORDS OF THE COMMITTEE WHICH SHALL BE AVAILABLE FOR
18 PUBLIC INSPECTION AND COPYING ARE:

19 (I) THE TERMS OF ANY SETTLEMENT OR COMPROMISE OF A COMPLAINT OR REFER-
20 RAL OR REPORT WHICH INCLUDES A FINE, PENALTY OR OTHER REMEDY REACHED BY
21 THE COMMITTEE; AND

22 (II) ALL REPORTS REQUIRED BY THIS SECTION.

23 12. NOTWITHSTANDING THE PROVISIONS OF ARTICLE SEVEN OF THE PUBLIC
24 OFFICERS LAW, NO MEETING OR PROCEEDING OF THE COMMITTEE SHALL BE OPEN TO
25 THE PUBLIC, EXCEPT IF EXPRESSLY PROVIDED OTHERWISE BY THIS SECTION OR
26 THE COMMITTEE.

27 S 2. That portion of subdivision 1 of section 5-a of the legislative
28 law entitled "ASSEMBLYMEN SERVING IN SPECIAL CAPACITY", as amended by
29 section 3 of part XX of chapter 56 of the laws of 2009, is amended to
30 read as follows:

31 ASSEMBLYMEN SERVING IN SPECIAL CAPACITY

32	Chairman of assembly ways and means committee	34,000
33	Ranking minority member of assembly ways and means	
34	committee	20,500
35	Chairman of assembly judiciary committee	18,000
36	Ranking minority member of assembly judiciary	
37	committee	11,000
38	Chairman of assembly codes committee	18,000
39	Ranking minority member of assembly codes	
40	committee	11,000
41	Chairman of assembly banks committee	15,000
42	Ranking minority member of assembly banks committee	9,500
43	Chairman of assembly committee on cities	15,000
44	Ranking minority member of assembly committee on cities	9,500
45	Chairman of assembly education committee	18,000
46	Ranking minority member of assembly education committee	11,000
47	Chairman of assembly health committee	15,000
48	Ranking minority member of assembly health committee	9,500
49	Chairman of assembly local governments committee	15,000
50	Ranking minority member of assembly local governments	
51	committee	9,500
52	Chairman of assembly agriculture committee	12,500
53	Ranking minority member of assembly agriculture committee	9,000
54	Chairman of assembly economic development, job creation,	

1	commerce and industry committee	18,000
2	Ranking minority member of assembly economic development,	
3	job creation, commerce and industry committee	11,000
4	Chairman of assembly environmental conservation committee	12,500
5	Ranking minority member of assembly environmental	
6	conservation committee	9,000
7	Chairman of assembly corporations, authorities	
8	and commissions committee	15,000
9	Ranking minority member of assembly corporations,	
10	authorities, and commissions committee	9,500
11	Chairman of assembly correction committee	12,500
12	Ranking minority member of assembly correction committee	9,000
13	MAJORITY Chairman of assembly ethics and guidance	
14	committee	12,500
15	[Ranking minority member of assembly ethics and guidance	
16	committee	9,000]
17	MINORITY CHAIRMAN OF ASSEMBLY ETHICS AND GUIDANCE	
18	COMMITTEE	12,500
19	Chairman of assembly governmental employees committee	12,500
20	Ranking minority member of assembly governmental	
21	employees committee	9,000
22	Chairman of assembly governmental operations committee	12,500
23	Ranking minority member of assembly governmental	
24	operations committee	9,000
25	Chairman of assembly housing committee	12,500
26	Ranking minority member of assembly housing committee	9,000
27	Chairman of assembly insurance committee	12,500
28	Ranking minority member of assembly insurance committee	9,000
29	Chairman of assembly labor committee	14,000
30	Ranking minority member of assembly labor committee	9,000
31	Chairman of assembly racing and wagering committee	12,500
32	Ranking minority member of assembly racing and wagering	
33	committee	9,000
34	Chairman of assembly social services committee	12,500
35	Ranking minority member of assembly social services	
36	committee	9,000
37	Chairman of assembly small business committee	12,500
38	Ranking minority member of assembly small business	
39	committee	9,000
40	Chairman of assembly transportation committee	15,000
41	Ranking minority member of assembly transportation	
42	committee	9,500
43	Chairman of assembly veterans' affairs committee	12,500
44	Ranking minority member of assembly veterans' affairs	
45	committee	9,000
46	Chairman of assembly aging committee	12,500
47	Ranking minority member of assembly aging committee	9,000
48	Chairman of the assembly alcoholism and drug abuse	
49	committee	12,500
50	Ranking minority member of the assembly	
51	alcoholism and drug abuse committee	9,000
52	Chairman of assembly committee on mental health,	
53	mental retardation and developmental disabilities	12,500
54	Ranking minority member of assembly committee on mental health,	

1	mental retardation and developmental disabilities	9,000
2	Chairman of assembly higher education committee	12,500
3	Ranking minority member of assembly higher education	
4	committee	9,000
5	Chairman of assembly real property taxation committee	12,500
6	Ranking minority member of assembly real property	
7	taxation committee	9,000
8	Chairman of assembly election law committee	12,500
9	Ranking minority member of assembly election	
10	law committee	9,000
11	Chairman of assembly children and families committee	12,500
12	Ranking minority member of assembly children	
13	and families committee	9,000
14	Chairman of assembly consumer affairs and protection	
15	committee	12,500
16	Ranking minority member of assembly consumer affairs and	
17	protection committee	9,000
18	Chairman of the assembly energy committee	12,500
19	Ranking minority member of assembly energy committee	9,000
20	Chairman of assembly tourism, parks, arts and sports development	
21	committee	12,500
22	Ranking minority member of assembly tourism, parks, arts and	
23	sports development committee	9,000
24	Chairman of assembly oversight, analysis and investigation	
25	committee	12,500
26	Ranking minority member of assembly oversight,	
27	analysis and investigation committee	9,000
28	Chairman of assembly office of state-federal relations	12,500
29	Chairman of majority house operations	12,500
30	Chairman of minority house operations	9,000
31	Co-chairman of the administrative regulations review	
32	commission	12,500

33 S 3. Severability clause. If any part or provision of this section or
 34 the application thereof to any person is adjudged by a court of compe-
 35 tent jurisdiction to be unconstitutional or otherwise invalid, such
 36 judgment shall not affect or impair any other part or provision or the
 37 application thereof to any other person, but shall be confined to such
 38 part or provision.

39 S 4. This act shall take effect immediately.