

# STATE OF NEW YORK

6964--A

2021-2022 Regular Sessions

## IN SENATE

May 20, 2021

Introduced by Sen. BIAGGI -- read twice and ordered printed, and when printed to be committed to the Committee on Ethics and Internal Governance -- committee discharged, bill amended, ordered reprinted as amended and recommitted to said committee

AN ACT to amend the executive law, in relation to the joint commission on public ethics; to amend the executive law, in relation to modifying the composition of the voting majority upon the appointment and removal of the executive director of the joint commission on public ethics; and to amend the executive law, in relation to filling of vacancies on the joint commission on public ethics

The People of the State of New York, represented in Senate and Assembly, do enact as follows:

1 Section 1. Paragraph (a) of subdivision 13, the opening paragraph of  
2 subdivision 14-a and subdivision 14-b of section 94 of the executive  
3 law, paragraph (a) of subdivision 13 as amended by section 1 of part J  
4 of chapter 286 of the laws of 2016, the opening paragraph of subdivision  
5 14-a and subdivision 14-b as added by section 6 of part A of chapter 399  
6 of the laws of 2011, are amended to read as follows:  
7 (a) Investigations. If the commission receives a sworn complaint  
8 alleging a violation of section seventy-three, seventy-three-a, or  
9 seventy-four of the public officers law, section one hundred seven of  
10 the civil service law or article one-A of the legislative law by a  
11 person or entity subject to the jurisdiction of the commission including  
12 members of the legislature and legislative employees and candidates for  
13 member of the legislature, or if a reporting individual has filed a  
14 statement which reveals a possible violation of these provisions, or if  
15 the commission determines on its own initiative to investigate a possi-  
16 ble violation, the commission shall notify the individual in writing,  
17 describe the possible or alleged violation of such laws, provide a  
18 description of the allegations against him or her and the evidence, if  
19 any, supporting such allegations, provided however that the joint  
20 commission shall redact any information that might, in the judgment of  
21 the commission, be prejudicial to either the complainant or the investi-  
22 gation; the letter also shall set forth the sections of law alleged to

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

LBD11632-02-1

1 have been violated and provide the person with a fifteen day period in  
2 which to submit a written response, including any evidence, statements,  
3 and proposed witnesses, setting forth information relating to the activ-  
4 ities cited as a possible or alleged violation of law. The commission  
5 shall, within sixty calendar days after a complaint or a referral is  
6 received or an investigation is initiated on the commission's own initi-  
7 ative, vote on whether to commence a full investigation of the matter  
8 under consideration to determine whether a substantial basis exists to  
9 conclude that a violation of law has occurred. The staff of the joint  
10 commission shall provide to the members prior to such vote information  
11 regarding the likely scope and content of the investigation, and a  
12 subpoena plan, to the extent such information is available. Such inves-  
13 tigation shall be conducted if at least eight members of the commission  
14 vote to authorize it. [~~Where the subject of such investigation is a~~  
15 ~~member of the legislature or a legislative employee or a candidate for~~  
16 ~~member of the legislature, at least two of the eight or more members who~~  
17 ~~so vote to authorize such an investigation must have been appointed by a~~  
18 ~~legislative leader or leaders from the major political party in which~~  
19 ~~the subject of the proposed investigation is enrolled if such person is~~  
20 ~~enrolled in a major political party. Where the subject of such investi-~~  
21 ~~gation is a state officer or state employee, at least two of the eight~~  
22 ~~or more members who so vote to authorize such an investigation must have~~  
23 ~~been appointed by the governor and lieutenant governor. Where the~~  
24 ~~subject of such investigation is a statewide elected official or a~~  
25 ~~direct appointee of such an official, at least two of the eight or more~~  
26 ~~members who so vote to authorize such an investigation must have been~~  
27 ~~appointed by the governor and lieutenant governor and be enrolled in the~~  
28 ~~major political party in which the subject of the proposed investigation~~  
29 ~~is enrolled, if such person is enrolled in a major political party.]~~

30 The joint commission on public ethics shall have jurisdiction to  
31 investigate, but shall have no jurisdiction to impose penalties upon  
32 members of or candidates for member of the legislature or legislative  
33 employees for any violation of the public officers law. If, after its  
34 substantial basis investigation, by a vote of at least eight members,  
35 [~~two of whom are enrolled members of the investigated individual's poli-~~  
36 ~~tical party if the individual is enrolled in a major political party and~~  
37 ~~were appointed by a legislative leader of such political party,]~~ the  
38 joint commission on public ethics has found a substantial basis to  
39 conclude that a member of the legislature or a legislative employee or  
40 candidate for member of the legislature has violated any provisions of  
41 such laws, it shall present a written report to the legislative ethics  
42 commission, and deliver a copy of the report to the individual who is  
43 the subject of the report. Such written report shall include:

44 14-b. With respect to the investigation of any individual who is not a  
45 member of the legislature or a legislative employee or candidate for  
46 member of the legislature, if after its investigation the joint commis-  
47 sion has found a substantial basis to conclude that the individual has  
48 violated the public officers law or the legislative law, the joint  
49 commission shall send a substantial basis investigation report contain-  
50 ing its findings of fact and conclusions of law to the individual. [~~With~~  
51 ~~respect to an individual who is a statewide elected official or a direct~~  
52 ~~appointee of such an official, no violation may be found unless the~~  
53 ~~majority voting in support of such a finding includes at least two~~  
54 ~~members appointed by the governor and lieutenant governor and enrolled~~  
55 ~~in the individual's major political party, if he or she is enrolled in a~~  
56 ~~major political party. Where the subject of such investigation is a~~

1 ~~state officer or employee who is not a direct appointee of a statewide~~  
2 ~~elected official, at least two of the eight or more members who vote to~~  
3 ~~issue a substantial basis investigation report must have been appointed~~  
4 ~~by the governor and lieutenant governor.]~~ The commission shall release  
5 such report publicly within forty-five days of its issuance.

6 § 2. Paragraph (a) of subdivision 9 of section 94 of the executive  
7 law, as amended by section 6 of part A of chapter 399 of the laws of  
8 2011, is amended to read as follows:

9 (a) Appoint an executive director who shall act in accordance with the  
10 policies of the commission. The appointment and removal of the executive  
11 director shall be made solely by a vote of a majority of the commis-  
12 sion~~[, which majority shall include at least one member appointed by the~~  
13 ~~governor from each of the two major political parties, and one member~~  
14 ~~appointed by a legislative leader from each of the two major political~~  
15 ~~parties]~~. The commission may delegate authority to the executive direc-  
16 tor to act in the name of the commission between meetings of the commis-  
17 sion provided such delegation is in writing, the specific powers to be  
18 delegated are enumerated, and the commission shall not delegate any  
19 decisions specified in this section that require a vote of the commis-  
20 sion. The executive director shall be appointed without regard to poli-  
21 tical affiliation and solely on the basis of fitness to perform the  
22 duties assigned by this article, and shall be a qualified, independent  
23 professional. The commission may remove the executive director for  
24 neglect of duty, misconduct in office, violation of the confidentiality  
25 restrictions in subdivision nine-a of this section, or inability or  
26 failure to discharge the powers or duties of office, including the fail-  
27 ure to follow the lawful instructions of the commission;

28 § 3. The opening paragraph of subdivision 2 of section 94 of the exec-  
29 utive law, as amended by section 6 of part A of chapter 399 of the laws  
30 of 2011, is amended to read as follows:

31 The members of the commission shall be appointed as follows: [~~three~~]  
32 ~~two~~ members shall be appointed by the temporary president of the senate,  
33 [~~three~~] ~~two~~ members shall be appointed by the speaker of the assembly,  
34 [~~one member~~] ~~two members~~ shall be appointed by the minority leader of  
35 the senate, [~~one member~~] ~~two members~~ shall be appointed by the minority  
36 leader of the assembly, and six members shall be appointed by the gover-  
37 nor and the lieutenant governor. [~~In the event that a vacancy arises~~  
38 ~~with respect to a member of the commission first appointed pursuant to~~  
39 ~~the chapter of the laws of two thousand eleven which amended this subdi-~~  
40 ~~vision by a legislative leader, the legislative leaders of the same~~  
41 ~~political party in the same house shall appoint a member to fill such~~  
42 ~~vacancy irrespective of whether that legislative leader's political~~  
43 ~~party is in the majority or minority.]~~ Of the members appointed by the  
44 governor and the lieutenant governor, at least three members shall be  
45 and shall have been for at least three years enrolled members of the  
46 major political party in which the governor is not enrolled. In the  
47 event of a vacancy in a position previously appointed by the governor  
48 and lieutenant governor, the governor and lieutenant governor shall  
49 appoint a member of the same political party as the member that vacated  
50 that position. Prior to making their respective appointments, the gover-  
51 nor and the lieutenant governor and the legislative leaders shall solici-  
52 tit and receive recommendations for appointees from the attorney general  
53 and the comptroller of the state of New York, which recommendations  
54 shall be fully and properly considered but shall not be binding.

55 § 4. This act shall take effect immediately.