

Title:	Lobbying Contacts
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Content Owner:	Delince, Karen



Lobbying Contacts

Note: Revision # should be listed in descending order starting with most recent version at the top.

Revision Date (For IBC Use Only)	Revision #	Description/Modification	Revision Section (s)	Author
1/22/2024	4	Bi-Annual Review Formatting Changes	Through out	Karen Delince VP & Corporate Secretary
9/25/2021	3	Bi-Annual Review		Karen Delince VP & Corporate Secretary
4/6/2021	2	Correction to the word Lobbying	1	Karen Delince VP & Corporate Secretary
1/30/2019	1	Updated to e-Scribe template Updated revision cycle to every other year Added Attachment	8 9	Karen Delince VP & Corporate Secretary

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For the latest revision of this document, refer to the Policy and Procedure PowerNet Site.

Records will be retained in accordance with NYPA's approved records retention schedules and/or in compliance with all applicable legal requirements pertaining to NYPA.

1 PURPOSE AND SCOPE

In furtherance of the New York Power Authority's commitment to ensure the transparency of and accountability for its operations, this Policy sets forth the program for recording lobbying contacts following the requirements of the New York Public Authorities Law (PAL).

This Policy establishes measures to create and maintain records of any lobbyist's attempt to influence: (a) the adoption or rejection of any rule or regulation by the Authority, and/or (b) the outcome of any Authority ratemaking proceeding.

2 APPLICABILITY

This Policy shall be adhered to by all employees, officers and trustees of the Authority. Implementing procedures shall be prepared as necessary to provide appropriate guidance in meeting the management controls described.

3 INITIALISMS (ACRONYMS) AND DEFINITIONS

Contact – Any conversation, in person or by telephonic or other remote means, or correspondence between any lobbyist engaged in the act of lobbying and any employee, officer or trustee within the Authority who can make or influence a decision on the subject of the lobbying on behalf of the Authority.

Lobbying – Any attempt to influence: (a) the adoption or rejection of any rule or regulation by the Authority, and/or (b) the outcome of any ratemaking proceeding by the Authority.

Lobbyist – Every person or organization retained, employed or designated by any client to engage in lobbying. Lobbyist does not include any officer, director, trustee, employee, counsel or agent of the state, or of any municipality or subdivision of New York State, when such persons are discharging their official duties. However, officers, directors, trustees, employees, counsels, or agents of colleges as defined by New York Education Law § 2(2) are considered lobbyists for purposes of PAL § 2987.

4 RESPONSIBILITY

The Content Owner maintains this document and keeps it updated.

5 POLICY IMPLEMENTATION

- 5.1** This Policy implements the requirements of Public Authorities Law (PAL) § 2987. The Authority has established this Policy to ensure a record is made and maintained by the Authority of any and all communication between a lobbyist engaged in lobbying and employees, officers or trustees who can make or influence a decision on behalf of the Authority regarding: (a) the adoption or rejection of any rule or regulation by the Authority, or (b) the outcome of any ratemaking proceeding by the Authority.
- 5.2** The Corporate Secretary is designated as the officer to whom all records of lobbying contacts shall be delivered and maintained. A contemporaneous record of the contact shall be recorded on a form prescribed by the Corporate Secretary.
- 5.3** The Corporate Secretary shall prescribe the form Record of Lobbying Contact (see Attachment 9.1) to be used by all employees, officers and trustees to record lobbying contacts pursuant to PAL § 2987.
- 5.4** An employee, officer or trustee who is contacted by a lobbyist shall make a contemporaneous record of such contact on the form prescribed by the Corporate Secretary, including the day and time of the contact, the identity of the lobbyist and a summary of the substance of the contact. The employee, officer or trustee shall notify and deliver the completed form to the Corporate Secretary.
- 5.5** Upon receipt of a record of contact, the Corporate Secretary shall maintain or cause to be maintained such record for a period of not less than seven years in a filing system that is indexed or otherwise organized in a manner in which such records are readily identifiable and reference Authority decisions regarding (a) the adoption or rejection of any rule or regulation by the Authority and (b) the outcome of any ratemaking proceeding by the Authority.

6 VIOLATIONS

Violations of this Policy and related policies and procedures by employees may result in disciplinary action up to and including termination. In addition, where the conduct engaged in is illegal, violators may be subject to prosecution under applicable federal, state or local laws.

7 REFERENCES

- 7.1** **New York Public Authorities Law § 2987**
- 7.2** **New York Education Law § 2(2)**

8 POLICY REVIEW AND EXPIRATION

This document will be reviewed and updated as business needs require. However, a mandatory review will be required on the anniversary date of the approved document. Rescinding of documents is referenced in BS-IBC-01-005.

Revision cycle: Every Other Year

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9 ATTACHMENTS**9.1 Attachment – Record of Lobbying Contact****RECORD OF LOBBYING CONTACT
(Pursuant to Public Authorities Law §2987)****Date:** _____**From:** _____ **Title:** _____**E-mail Address:** _____**Subject:** **Record of Lobbying Contact**Select One: ☒ Rule/Regulation ☐ Rate Making

I was contacted by the below-named individual or organization regarding the identified lobbying matter. It appears to me that this contact was an attempt to influence (1) the adoption or rejection of a rule or regulation, or (2) ratemaking proceeding, as defined in New York Public Authorities Law §2987.

Date of contact (MM/DD/YYYY): _____ **Time of contact (HH:MM AM/PM):** _____**The contact took the form of:** (Please select one)☐ Correspondence ☐ In-person ☐ Telephone ☐ E-mail ☐ Other _____**Subject Matter:****Summary of contact: (if contacted by correspondence or e-mail, please attach a copy)**

LOBBYIST INFORMATION**Name:** _____*Printed copies are not controlled.**For the latest revision of this document, refer to the Policy and Procedure PowerNet Site.**Records will be retained in accordance with NYPA's approved records retention schedules and/or in compliance with all applicable legal requirements pertaining to NYPA.*

Address: _____**City:** _____ **State:** _____ **Zip Code:** _____**Telephone (###-###-####):** _____ **E-mail
Address:** _____**Place of principal
employment:** _____**Occupation:** _____**Person/Organization on whose behalf contact was
made:** _____

Email completed form (with attachments, if any) to Corporate Secretary at
Secretarys.Office@nypa.gov.



e-Signature Approval History

Role	Name	Title	Date	Result
President	Driscoll, Justin	President & CEO	01/22/2024	Approve
General Counsel	Alesio, Lori	Interim EVP & General Counsel	01/22/2024	Approve
Operation Office	Kessler, Joseph	EVP & Chief Operating Officer	01/22/2024	Approve
Interim VP Human Resources	Saslow, Karina	Interim VP Human Resources	01/22/2024	Approve
Executive Owner	Driscoll, Justin	President & CEO	01/11/2024	Approve
Content Owner	Delince, Karen	VP & Corporate Secretary	01/03/2024	Approve
BCG	dawn.memon@ny pa.gov	BCG Team Member	01/03/2024	Approve