

1.0 Policy

RGRTA will establish measures to create and maintain records made by persons or organizations attempting to influence decisions concerning the

- a. Adoption or rejection of any rule or regulation by RGRTA, and/or the
- b. Outcome of any ratemaking proceeding conducted by RGRTA.

2.0 Purpose

This Policy identifies RGRTA's program for complying with Public Authorities Law § 2897.

3.0 Scope

This Policy applies to all members of the RGRTA Board of Commissioners, the Chief Executive Officer (CEO), and all members of the Executive Management Team (EMT).

4.0 Definitions

- **Authority** and **RGRTA** shall mean the Rochester Genesee Regional Transportation Authority and its wholly controlled subsidiaries (RTS, RTS Access, RTS Genesee, RTS Livingston, RTS Ontario, RTS Orleans, RTS Seneca, RTS Wayne, and RTS Wyoming).
- **Client** shall mean a person who or an organization that retains, employs, or designates a person or organization to carry on lobbying activities on their behalf.
- **Lobbying** shall mean any attempt to influence the adoption or rejection of any rule or regulation having the force and effect of law by the RGRTA; or the outcome of any ratemaking proceeding conducted by RGRTA. Note that "lobbying" does not include persons who participate as witnesses, attorneys, or other representatives in public proceedings of RGRTA if their participation is part of the public record of that proceeding.

Lobbying Contact shall mean 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 within RGRTA who can make or influence a decision on the subject of the lobbying on behalf of the RGRTA. For purposes of this Policy Board of Commissioners members, EMT members, and the CEO are all deemed capable of influencing a decision on behalf of RGRTA regardless of the subject of the lobbying.

- **Lobbyist** shall mean a person or organization retained, employed, or designated by any client to engage in lobbying. The term "lobbyist" shall not include an officer, director, trustee, employee, counsel, or agent of the State of New York, or any municipality or subdivision of the State of New York, when 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 Public Authorities Law § 2987.

5.0 Details

5.1. Create Lobbying-Contact Records

If a Board of Commissioners member, an EMT member, or the CEO receives a Lobbying Contact, he or she must simultaneously create a record of the contact using the Record of Lobbying Contact Form (the Contact Form) which is available through the company intranet.

The lobby-contact record must include the day and time of each lobbying contact; the identity of the lobbyist; a general summary of the substance of the lobbying contact; and the identity of the lobbyist's client if possible. If the lobbying contact is made in writing, such as correspondence or an email, attach a copy of the writing to the Contact Form.

Promptly submit the completed Contact Form and any associated attachments to the Legal Affairs Assistant at 1372 East Main Street, Rochester NY, 14609.

Contact General Counsel if you have questions whether a specific RGRTA matter constitutes a rule making or a ratemaking proceeding for the purposes of the lobby-contact record requirement.

5.2. Maintain Lobbying-Contact Records

The Legal Affairs Assistant shall maintain each lobbying-contact record for not less than seven years. Such records shall be organized in a filing system that is indexed or otherwise organized to make the records readily identifiable and referenced to RGRTA decisions regarding a) the adoption or rejection of any rule or regulation by RGRTA and b) the outcome of any ratemaking proceeding by RGRTA. The records may be retained electronically on RGRTA's network or in hardcopy files stored in the Legal Affairs filing room or at a third-party storage facility (DataVault).

6.0 Conditions

RGRTA's failure to enforce any provision or provisions shall not operate to invalidate RGRTA's rights to enforce any of the provisions of this Policy including subsequent changes. Should any provision of this Policy be deemed invalid, it shall not affect nor invalidate any other provision.

7.0 Resources

Materials

The following form is available on Policy & Procedure Manager:

[Lobbying Contact Form](#)

- Go to <http://intraweb/>
- Click Policies & Procedures in the black horizontal menu bar
- Click the HERE link
- Type the title in the Search for field (right) and click Search
- Single-click the name of the file to open it
- In a PDF - hover your mouse toward the bottom to get a menu to Print the pdf or save the pdf to your desktop
- Close the file in Policy Manager