

# *Cayuga County Purchasing Policy and Procurement Manual*



# 2010

**Resolution No.339-10  
Adopted, July 27,2010**

"Establishing effective and proper procurement policies is one of the most important responsibilities that governing boards have. When the State Legislature adopted General Municipal Law Section 104-b in 1991, it required governing boards to adopt written procurement policies and to update them at least once a year."

NYS Office of the State Comptroller (OSC)

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**Cayuga County  
Purchasing Policy and Procedures**

**MISSION STATEMENT**

The Cayuga County Legislature dedicates itself to the procurement of the right goods and services at the right price for the various County departments in a timely manner assuring the prudent and economical use of public monies. We will facilitate the acquisition of goods and services at the lowest possible cost and at the same time guard against favoritism, extravagance and fraud.

It is, therefore, essential that the purchasing policies and procedures of Cayuga County be clearly established and understood by all concerned.

This Purchasing Manual has been prepared at the direction of the Cayuga County Legislature as a statement of the policy upon which our purchasing practices and procedures are based.

The County declares its intention to purchase competitively without prejudice and to seek maximum operational value for every dollar expended

**INTRODUCTION**

Pursuant to General Municipal Law Section 104-b, goods and services which are not required by law to be procured by political subdivisions or any districts therein pursuant to competitive bidding must be procured in a manner so as to assure the prudent and economical use of public moneys in the best interest of the taxpayers of the political subdivision or district, to facilitate the acquisition of goods and services of maximum quality at the lowest possible cost under the circumstances, and to guard against favoritism, improvidence, extravagance, fraud and corruption. To further these objectives, the governing board of every political subdivision and any district therein, by resolution, will adopt internal policies and procedures governing all procurement of goods and services which are not required to be made pursuant to the competitive bidding requirements of section one hundred three of this article or any other general, special or local law.

Pursuant to Cayuga County Local Law No. 1 of 2010, the County Administrator administers and oversees all purchasing functions of the County. This policy is the basis for the County's purchasing practices.

The purchase function involves the procurement of materials, supplies, equipment, and services at the lowest possible cost consistent with the quality needed to meet the required standards of the County. Although procedures change, fundamentals do not. Our goal is the promotion of the County's best interest through intelligent action and fair dealing which will result in obtaining the maximum projected value for each dollar of expenditures.

This policy has been prepared as a guide to performing the procurement function in

accordance with County policies. It is intended to serve as a continuing reminder of the duties and responsibilities involved in procuring required items, while at the same time maintaining the County's reputation for fairness and integrity.

- ❖ Members of the County Administrator's Office shall maintain effective and professional public, vendor and customer relationships.
- ❖ To maintain a high level of quality service to our customers, we encourage our staff to participate in the numerous educational opportunities offered in the purchasing field; and to keep abreast of current developments in market conditions, pricing, new products and New York State laws as they pertain to the purchase of goods and services for Cayuga County.
- ❖ The Purchasing policy herein shall be administered in accordance with all ethical rules called for by the County of Cayuga and the National Institute of Governmental Purchasing Code of Ethics.
- ❖ The purchasing procedures employed will comply with all applicable laws and regulations of New York State and shall be subject to the approval of the County Legislature.
- ❖ Each procurement request will be examined by the Cayuga County Administrator's Office and processed according to the guidelines set forth under the appropriate section of the attached Purchasing Procedures.
- ❖ The Cayuga County Administrator's Office will maintain adequate documentation of all action taken in connection with each method of procurement. Such documentation shall include but not be limited to any and all pertinent Board resolutions, memoranda, written quotes, contracts and any other appropriate form of documentation.
- ❖ Opportunity will be provided to all responsible suppliers to do business with the county. To this end, the County Administrator's Office will maintain a listing of potential bidders for the various types of material equipment and supplies used by county departments. This list will be used for the distribution of notices for bids and quotes. Any supplier may be included on the list upon request. This list will be reviewed and updated as deemed appropriate by the County Administrator's Office.
- ❖ Suppliers will be removed from the bidders list if they make a formal written request, or if the Administrator finds the supplier to be an irresponsible bidder. This is determined by failing to provide proof of responsibility, having repeatedly made slow or unsatisfactory delivery of supplies or services or having been found by a court of competent jurisdiction to have engaged in unlawful employment or business practices within the previous twelve (12) months.
- ❖ When soliciting bids, a "General Conditions" will be included with all specifications provided to suppliers. These general conditions will be incorporated into contracts awarded for the purchase of materials, equipment and services.
- ❖ Purchases should be made under County contract pursuant to Section 408-a of County Law, through available state contracts (OGS), or Subd 3 of GML 103 which allows purchases of materials, equipment or supplies, or to contract for services, other than

services subject to article eight or nine of the labor law, through any county within the state, whenever such purchases are deemed by the Administrator to be in the best interest of the County.

- ❖ The County is also authorized to purchase goods under GML 104b not covered by GML 103 from ANY source duly quoted/bid by any state or federal governmental agency where the vendor is willing to supply said goods and/or services to Cayuga County at the exact price quoted and meeting the exact specifications offered in the original solicitation.
- ❖ Supplies used by various county departments should be uniform whenever consistent with operational goals in the interest of efficiency and economy.
- ❖ Store charge cards whose use is approved by the County Administrator are *held in the County Administrator's Office* and used by the direction of the County Administrator. The exception to this is the Legislature's American Express card, which will be handled through the Clerk of the Legislature's Office.
- ❖ Officials and employees shall have no financial interest in contracts entered into by the municipality (as defined in Section 800 of General Municipal Law). This also precludes acceptance of gratuities, financial or otherwise, as stated in the Cayuga County Code of Ethics.
- ❖ The County of Cayuga will not be deemed responsible for any commitment made at the departmental level circumventing these procedures. If County procedures are circumvented, disciplinary action may be taken. This may include holding the person personally liable for the unauthorized purchase.
- ❖ Salespersons are encouraged to visit the Administrator's Office prior to or in conjunction with initial, individual department contact.
- ❖ The Government Operations Committee will annually review the policies and procedures set forth in this manual prior to adoption by the Cayuga County Legislature.
- ❖ The unintentional failure to fully comply with the provisions of General Municipal Law Sections 103 and 104-b shall not be grounds to void any action taken or give rise to cause of action against the County of Cayuga, the Administrative Office, or any officer or employee thereof.

### **ETHICS OF PURCHASING**

In order to eliminate any suspicion of wrongdoing, unfairness or conflicts of interest prior to any purchase of materials, goods, or supplies, Purchasing will:

1. Consider the interest of the County in the betterment of its government;
2. Endeavor to obtain the greatest value for every dollar expended;
3. Be receptive to advice and suggestions from department heads, insofar as such advice and suggestions are not in conflict with legal or moral restriction in purchasing procedures;
4. Strive for knowledge of municipal equipment and supplies in order to recommend items that may either reduce cost or increase municipal efficiency;

5. Insist on and expect honesty in sales representations whether offered verbally or in writing, through advertising or by providing samples of a product;
6. Give all responsible bidders equal consideration and the assurance of unbiased judgment in determining whether their product meets specifications;
7. Discourage the offer of, and to decline any and all gifts which in any way might influence the purchase of municipal equipment and supplies.
8. Accord a prompt and courteous reception, insofar as conditions permit, to all who call on legitimate business missions, and cooperate with governmental and trade associations in the promotion and development of sound business methods in purchasing the County's equipment and supplies.

### **PURCHASING POLICY DEFINITIONS**

- "Blanket Order" will be used to eliminate the necessity for the issuance of separate orders for groups of items that are purchased frequently from the same vendor.
- "Legislature" will mean the governing body of the County.
- "Confirming Purchase Order" is used to provide a purchase order number in cases where necessity for immediate action exists.
- "Encumbering" will mean the act of reserving funds from the current operating budget for payment of goods and services ordered but not received.
- "Invoice" will mean a formal billing submitted by a vendor showing the amount due and terms of payment for supplies delivered or services rendered.
- "Municipality" will mean the County of Cayuga.
- "Professional and Personal Services" will mean those services which are provided to the County of Cayuga which will be exempt from the competitive bidding procedures as outlined in this policy.
- "Public Emergency" will mean an accident or other unforeseen occurrence or condition, whereby circumstances affecting public buildings, public property, or the life, health, safety or property of the inhabitants of the County are involved allowing for procurement of goods without competitive bidding.
- "Purchase Order" will mean formal notice to a vendor to furnish the supplies or services described in detail thereon. A Purchase Order is a formal contract with the vendor.
- "Purchasing" will mean the act of obtaining supplies, equipment, or services necessary to carry out a particular function of the County.
- "Purchasing Director" will mean the person who is responsible for the Purchasing function of the County.
- "Quotation" will mean an informal notice, either verbal or written, from a vendor setting forth the terms in which supplies or services will be supplied to the County.
- "Requisition" will be a written request to the County Administrator for one or more items or necessary services.
- "Requisitioner" will mean the official or department head, or the authorized subordinate, initiating a request for goods or service.
- "Specifications" will mean a written description of needed supplies, equipment or services setting forth in a clear concise manner the characteristics of the items and/or services to be purchased, and the circumstances under which the purchase will be made.
- "Vendor" will mean a supplier of goods or services to the County.

Effective January 01, 2009, General Municipal Law §104-b (2) (f) will require that the procurement policies and procedures of each political subdivision and district therein identify the individual or individuals responsible for purchasing and their respective titles. This information will be required to be updated biennially. Former paragraph f of subdivision 2 will be renumbered as paragraph g. (L 2007, ch 402).

List of Names	Title
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

**PURCHASING POLICY LIMITS AND GUIDELINES**

Pursuant to General Municipal Law Section 104-b, procedures for purchasing goods or services that fall below monetary bid limits must be established and approved by the governing board. The following guidelines are established for all purchases made by Cayuga County Departments. The only exception to these guidelines is the use of the blanket purchase order as described later in this policy.

All orders will be placed through the purchase order system to allow for proper encumbering of the funds. In all cases, the requesting department is responsible for supplying Purchasing with adequate information to purchase the item requested.

<b>Purchase Amount</b>	<b>Requisition Required?</b>	<b>3 Quotes Needed?</b>	<b>Type of Quotes Required</b>	<b>Responsible to obtain quotes</b>	<b>Purchase order to be issued?</b>
Up to \$1000.99	Yes	No	N/A	N/A	Yes
\$1001-\$5,000.99	Yes	Yes	Verbal or Written	Department	Yes
\$5,001 - \$19,999.99	Yes	Yes	Written	Department (with Purchasing's assistance)	Yes
\$20,000 & over *	Sealed Bid			Purchasing	

*\* New law went into effect June 22, 2010 to raise the purchasing threshold to \$20,000.00*

All items purchased in excess of \$1000.99 must have 3 quotes unless they are available from a contract such as a New York State Contract, County Contract or a Group Purchasing Contract. All quotes obtained by the department must be sent to Purchasing by scanning, e-mail or inter-office mail. The requisition number (assigned by the system) must be noted on the quote form. Upon approval of Purchasing, a purchase order will be issued.

When obtaining verbal or written quotes the record should, at a minimum, include the date, item or service desired, price quoted, name of vendor and the name of the vendor's representative and contact information such as phone, fax and e-mail address. The quotes shall be attached to your warrant when submitting to the Payables Department.

**ALL PUBLIC WORKS**

(Public Works applies to those items or projects involving labor or both materials and labor)

\$250 -\$1,000.99	1 verbal or written quote to be obtained by the department
\$1,001 -\$5,000.99	1 written quote to be obtained by the department
\$5,001 -\$ \$34,999.99	3 written quotes to be obtained by the department
\$35,000 & over	Sealed Bid

How do you define a “Public Works Contract”? Any time an item or project involves labor or both materials and labor (other than simple delivery of goods) it qualifies, such as contracts for construction, demolition, remodeling, maintenance, painting, paving, printing and repair contracts.

**BID APPROVAL PROCESS**

Bids for goods and services will be awarded by the Cayuga County Legislature after the following conditions are met:

1. Sufficient appropriations are contained within the departments' current budget (or budget transfer has been completed)
2. The department head or their designated representative and the County Administrator have certified in writing that the bids were received and meet the intent of the specifications
3. The award is made to the bidder submitting the lowest responsive and responsible bid per specifications and insurance requirements.
4. The using department shall document the rejection of any low bid deemed non-responsive or non-responsible and have offered the vendor(s) the opportunity to meet with the Administrator's Office and County Attorney's to discuss the rejection. The using department shall attach a copy of said documentation to the resolution and a copy shall be supplied to Purchasing. Said documentation shall be attached to the bid evaluation form in the bid folder.

## **PROFESSIONAL SERVICES**

(example: professional services as defined on page 10 under exceptions)

Up to \$5,000.99	1 written quote to be obtained by the department
\$5,001 -\$19,999.99	3 written quotes to be obtained by the department
\$20,000 & over	Process to be determined by the County Administrator and County Attorney

All awards will be made to the lowest responsible bidder. Circumstances, which must be documented, may dictate purchase from other than a low bidder (i.e., delivery requirements, quantity requirements, location of the vendor, known past experience of a vendor, etc.)

## **PURCHASING POLICY AND CONTROL**

1. The Purchasing Department will be responsible for developing and administering the Purchasing program.
2. Purchase contracts for materials, equipment and supplies involving an estimated annual expenditure of more than \$20,000 and public works contracts involving more than \$35,000 will be awarded only after public advertising soliciting formal bids (Section 103 of the General Municipal Law.)
3. All bid packages for competitive bidding will be prepared by Purchasing with the exception of the Highway Department. Bids for the Highway Department will be prepared by the department and sent to Purchasing and the County Attorney for review and final approval prior to advertising for bidding. The requesting departments are to submit the necessary information as outlined in the competitive bidding section of this policy.
4. All requests to purchase any technology related equipment, software or services must be researched and approved by the Information Technology Department prior to purchase order being approved.
5. The Purchasing procedures employed will comply with all applicable laws and regulations of the State and County.
6. All contracts that require public advertising and competitive bidding will be awarded as provided by law and this policy.
7. Purchases will be made through available State Contracts of the Office of General Services, Division of Purchasing, from a preferred source pursuant to Sections 175(a) and 175(b) of the New York State Finance Law or under County contracts pursuant to Section 408-a of the County Law, whenever such purchases are in the best interest of the County. All New York State Contracts can be found at [www.ogs.state.ny.us/purchase](http://www.ogs.state.ny.us/purchase) or by contacting Purchasing. A requisition must be completed and a Purchase Order will be issued for all purchases from State Contracts, additional quotes need not be obtained.
8. Requests for renovations or maintenance to County property are to be submitted to the Buildings and Grounds Superintendent. Upon receipt the issues will be reviewed with the County Administrator.
9. Supplies used by various officers and departments should be uniform whenever consistent with operational goals and in the interest of efficiency or economy. The

department head may be required to justify the need for a special type of item.

Legal notices are published in the three official County newspapers and the bidnet website, informing the public of the products or services being bid.

Where formal bidding procedures are not required by law and/or resolution, pricing will be solicited by the Administrator's Office pursuant to the procedure set forth in Section 104-b of General Municipal Law.

The only exceptions are for procurement made pursuant to General Municipal Law, Section 103 (3) (through County contracts) or Section 104-b (through state contracts); State Finance Law, Section 175-b (from agencies for the blind or severely handicapped); Correction Law, Section 186 (articles manufactured in correctional institutions), or DSS programs such as HEAP where the program has a set procurement process and the County is a pass through for funding only.

All quotations not secured by the Administrative Office shall be done by use of the current "Short Term Contract/Quote Form". This form is available on the Cayuga County Intranet site under County Attorney/County Contracts. There also you will find sample insurance accord forms, and standard contract forms for use by all county departments. Note: Upon request, the quotes secured by departments are subject to review by both internal and external auditors at any given time. The documentation must be kept as required by grant agreement or by law but no less than three (3) years following the completion of the contract.

In certain situations, solicitation of alternative proposals or quotes is not practical. These may include: emergencies, true leases and sole source situations and combinations of professional services/purchases. In each of these cases, the requesting department and the Administrative Office shall analyze, justify and clearly document the reasons behind the award. No awards shall be made before contacting the Administrative Department. In these cases, the "short term contract/quote form" shall be used as a basis to establish pricing and a contract.

### **SOLE SOURCE & SINGLE SOURCE**

A sole source can be a manufacturer, software developer or service provider that sells direct and there are no other sources offering an "or equal". Prior to a vendor being considered a sole source, a letter on the vendor's official letterhead must be on file with the Administrator detailing their sole source status.

A single source could be a distributor/wholesaler/retailer that has a contractual agreement for a specific territory to the exclusion of others. Should you have a situation involving a single source supplier, a letter on the manufacturer's letterhead must be on file with the County's Administrative Office confirming the single source authorized vendor.

### **PROFESSIONAL SERVICES**

Professional Services are not subject to competitive sealed bidding requirements, but are subject to the guidelines of GML 104-b for competitive pricing to be obtained for these services.

Professional services and services requiring special or technical skill, training or expertise are not purchase contracts or contracts for public work, as those phrases are used in the bidding statutes and therefore are not subject to competitive bidding procedures. The determination of whether the professional service exception is applicable in given situations must be made on a

case-by-case basis, examining the particular services to be acquired. Generally, professional services involve specialized expertise, use of professional judgment and/or a high degree of creativity. The courts have noted that professional service contracts often involve a relationship of personal trust and confidence. Among the services which have been held to be exempt from competitive bidding under this exception include, but are not limited to, the following: physicians, psychiatrists, psychologists, pharmacists, engineers, surveyors, accounting firms, attorneys, architects, and individuals who supply a service that requires specific training to perform a task that is unique and not readily available from most sources.

### **DEPARTMENTAL LEVEL -PURCHASE REQUISITION**

- **PURPOSE:** Provides a means of initiating the ordering process for goods and services. Provides a formal record, within the department, that such goods and/or services have been requisitioned. Provides the proper authority to procure the item requested.
- **FREQUENCY:** Prepared whenever goods and services are required for all items
- **PREPARATION:** The requisitioning department obtains the required quotes or uses one of the following means to secure pricing for the items or services requested:
  - County bid awards.
  - New York State Contracts -these contracts by State Division of Standards and Purchase awarded after formal bidding by New York State and made available to political subdivisions by State Law or in the case of the Center for Nursing and Rehabilitation, contracts awarded through a Group Purchasing Organization.
  - Preferred Source offerings required under Article XI of the State Finance Law.
  - Formal bid preparation.
  - Quotations: informal notice by a vendor setting forth terms under which he will furnish supplies or services.
- A Purchase Requisition is completed through the MUNIS system. The Department Head or authorized person must approve the purchase request through the MUNIS system prior to the Purchasing Department issuing the final Purchase Order. The required quotes and documentation are to be sent to Purchasing at that time. Documents must be scanned and attached to the requisition. The request will be approved and a purchase order will be issued by the Purchasing Department as soon as possible after all of the required documentation is received. **RESPONSIBILITY:** The individual departments insure that items ordered and expenditures are within the budgetary appropriations.

**IMPORTANT NOTE:** Purchase orders will not be issued if funds are not available in the appropriate line. Transfers must be completed before a purchase order will be issued.

The Purchase Requisition provides the means of initiating the Purchase Order process for goods and services. The Administrator's Office is designated to review and approve requisitioners' requests; it is the individual department heads responsibility to insure that expenditures are within the budgetary appropriations and that the proper department account is charged.

## Preparation:

The requisitioning department will enter the following information on the county financial software system. (MUNIS)

1. Date
2. Reason for the purchase
3. Vendor
4. Contract Information
5. Ship to location
6. Deliver by
7. Quantity and unit of measure
8. Item number and full description
9. Account number to be charged
10. Comments (resolution number, contract & insurance information, etc)
11. Quote number, if applicable

If the department has a definite reason for ordering from a specific vendor it should be noted in the comments, the Administrator's Office will make the final decision as to price and vendor after reviewing the requisition and consulting with the using department. Adequate documentation shall also be provided with all requisitions, such as catalogs, references and full descriptions of the items/service being ordered, so that the Administrator's Office may procure the desired items/service in a timely fashion.

## **PLANNING**

Anticipate your needs! Once you have determined what you need, within the limitations of your budget, contact the Administrator's Office to help you develop the specifications for the quote or bid to get the best value possible for the expenditure of tax dollars.

The key is time, turn around time is dependant on many factors ranging from the complexity of the specifications, and the need for a pre-bid meeting and addenda to the number of bids and quotes currently in process with the Administrator's Office.

## **GENERAL PURCHASES**

The purchase order provides a formal document authorizing the purchase of goods and services as well as the necessary authority to pay vendor claims and proof of tax-exempt sales. Purchase orders are converted from a requisition which is prepared by the department upon receipt of a complete purchase requisition with all the necessary documentation such as contracts, short-term contract/quote forms and insurance forms on file.

The Administrative Office verifies the following before issuing a purchase order:

1. Type of purchase order requested
2. Requisitioning department/ship to location
3. Vendor/vendor number
4. Contract/resolution/quotation information

5. Comments/special instructions
6. Description of goods and services being ordered
7. Quantity/unit of measure
8. Unit price/extension and total cost

The Administrative Office will determine the best method of procurement upon receipt of a requisition. If available, a current county bid or NYS contract will be used, if none apply the formal bid or quotation process will be completed.

**In ALL instances, purchase orders must be completed before a purchase is made.** The only exception is an emergency purchase as described on page 14.

If at any time a department finds they will exceed the competitive bidding threshold for a particular product or service, they should notify the Administrative Office to allow time for specifications to be developed and the formal bid process to be completed, to meet their anticipated needs.

### **INTERNET PURCHASES**

Internet purchases will be considered on a case-by-case basis. If an item is found to be the lowest acceptable item available from a vendor that will only accept purchases made on-line, the department is to contact Purchasing or the County Auditor for approval prior to making the purchase. The decision will then be made to make the purchase using the County credit card. In all cases a Purchase Requisition issued to the vendor must be submitted and a Purchase Order number must be issued prior to placing the order. The adopted Purchasing Policy must still be adhered to. At the time of payment, the vendor number of the credit card owner used to purchase the items must be used to issue the payment to.

### **BLANKET PURCHASE ORDERS**

**PURPOSE:** To eliminate the necessity for the issuance of separate orders for groups of items, which are purchased frequently from the same vendor. To permit the department to purchase items of this nature on an "as needed" basis when there is no provision to maintain an inventory.

**RESPONSIBILITY:** The amount and period and purpose of the blanket purchase order will be determined by the respective department head in conjunction with Purchasing and County Administrator. It should be based on information available in the records covering previous fiscal years and present departmental needs.

#### **Blanket Orders will be issued for the following circumstances:**

To vendors that Cayuga County has entered into a contract with such as annual bids for supplies, State Contracts or any other type of approved contract.

To vendors without a contract, for the occasional purchase of such items as may be necessary in the departments day-to-day operations. Items may not be purchased in amounts, which meet or exceed the competitive bidding requirements. Requests for blanket orders will be issued on a case-by-case basis and will be rescinded if Purchasing policy limits are exceeded.

**FREQUENCY:** Issued as needed to various vendors for purchases of those items considered being of

an immediate need or for purposes of consolidating purchases. Blanket orders may be issued on a monthly, quarterly, semi-annual or annual basis.

**DISTRIBUTION:** The same as regular purchase orders.

**PREPARATION:** The same as regular purchase orders.

If it appears that the amount on the Blanket Purchase Order may not be sufficient to cover the time period allowed, the Purchasing Director must be contacted immediately. Purchase orders may be issued on a case-by-case basis to cover overages when purchases exceed the amount of the blanket order. A detailed explanation will be required. Continuous overages may not be approved.

## **EMERGENCY PURCHASES**

- **DEFINITION:** To provide a purchase order number in cases where necessity for immediate action exists.

**Emergency Purchase** -General Municipal Law Section 103 (4) clearly states, "in case of a public emergency arising out of an accident or other unforeseen occurrence or condition whereby circumstances affecting public buildings, public property or the life, health, safety or property of the inhabitants require immediate action which can not await competitive bidding, contracts for public work or the purchase of supplies may be let by the appropriate officer, board or agency."

A true emergency does not exclude the need for securing competitive pricing, only the formal bidding process. The Administrator's Office should be contacted as soon as the emergency need is identified to secure pricing. If the Administrator is not available then follow the chain of command attached to this policy.

- **PROCEDURE:** When a department has an urgent situation, the following procedures will be followed:  
Prior to calling the Purchasing Department (if not available, contact the County Administrator, if he's not available, follow the chain of command), the requisitioning department should be prepared to supply the following information:
  - The reason the purchase is urgent.
  - The department name and budget code.
  - A complete description and accurate cost of the item to be purchased.
  - The name and address of the vendor from whom the goods are to be purchased.

Requisitioning department will verify the necessary budgetary appropriation. Purchasing, in conjunction with the County Administrator if necessary, will determine if a purchase is in fact urgent.

If it is determined that an urgent situation does exist the immediate availability of the required goods or services will be given prime consideration in the selection of the vendor.

The approving parties will verbally approve the purchase of emergency orders and keep record of it.

The ordering department will prepare a requisition containing the required information. The requisition should be marked Confirming Purchase and entered into the purchase requisition system as soon as possible.

The individual who picks up the items from the vendor must obtain an extended

invoice containing:

- Quantity and description of items purchased.
- The unit and total cost.
- The purchase order number assigned by the Purchasing Department after confirming order is issued.
- Signature of the person receiving the goods.

The Purchasing Department prepares the confirming purchase order and provides the regular distribution

**RESPONSIBILITY:** The Purchasing Department WILL NOT approve a confirming purchase order when the purchase is not justified, where the purchase is being made to circumvent established procedures, or where there is lack of proper planning

### **RECEIPT OF GOODS –DEPARTMENT**

Upon receipt of deliveries to County departments, before the employee signs for shipment should make an inspection of the goods. If there are any discrepancies or damages noticed at the time of delivery, the employee will note these on the delivery slip before affixing his or her signature accepting deliveries. This procedure will assist the County from incurring payments for damaged goods and/or goods not actually received.

Upon receipt of goods and/or services by the each department, if it is determined that the goods and/or services are not what was initially ordered or not acceptable due to quality or some other reason, every attempt should be made by the Department to resolve the problem with the vendor. In the event that a resolution is not reached, a vendor complaint memo and all documentation should be forwarded to the Purchasing Department for immediate action. The Purchasing Department will pursue all avenues to resolve the discrepancies that exist.

In the event of a partial order, a notation should be made on the receiving copy. This copy should be retained by the department until all goods and/or services have been rendered.

Upon receipt of goods and/or services, the department enters into MUNIS with the exact quantity received noted by receiving signature. The appropriate copy is signed and scanned then returned to the Payable Department for the file and a copy is submitted with the voucher for payment.

The Purchasing Department will be responsible for insuring that all purchases were made in accordance with these procedures. The requisitioning department is responsible for being sure that the receiving copy of the Purchase Order has been completed properly. All invoices, packing slips and other necessary information are to be retained by the department or submitted with the voucher for payment.

As standard business procedure, all County vendors are entitled to prompt payment.

If the County Administrator receives any claims for materials, supplies or services for which a purchase order was not issued and approved, and the funds were not encumbered as per policy, the County Administrator will have the authority to nullify the payment of such claim.

### **SECOND HAND EQUIPMENT**

There is a statutory exception to competitive bidding requirements that permits the purchase of surplus and second-hand supplies, materials or equipment without competitive bidding from Federal or State government or from any other political subdivision or public benefit corporation

with in the State. However, purchases of used items from any other source (e.g. private sources like auctions or going-out-of-business sales) are not exempt from bidding requirements.

### **ANNUAL REVIEW**

The governing board will annually review these policies and procedures. The County Administrator's Office will be responsible for conducting an annual review of the procurement policy and the County Auditor will evaluate the internal control structure established to ensure compliance with the procurement policy.

### **AP INVOICE ENTRY**

There are certain expenditures for which the processing of a purchase order is unnecessary. AP Invoice Entry is used for transactions that have already taken place and now just require payment; this is considered AP Invoice Entry in MUNIS.

AP Invoice Entry may be used for the following:

- Advertising costs/legal notices- proof of publication must be attached to the invoice
- Employee reimbursements
- Mileage/Travel/Conference-submitted with standard County Travel request
- Repairs, Service and replacement
- All utilities: Phones (including cellular), Sewer, Water and Electric
- Dues and Memberships
- Postal fees
- Rental of equipment (under \$500)
- Pre-employment physicals
- Subscriptions
- Contract payments approved by board resolution

### **JOURNAL ENTRY**

Interdepartmental Charges: Will be recorded through journal entries

All receipts or invoices are to be coded with the proper account numbers and sent directly to the Accounts Payable Department for payment.

### **Petty Cash**

Cayuga County does not allow departments to have Petty Cash, except as authorized by resolution of the Legislature.

### **STANDARDIZATION**

General Municipal Law Section 103 makes it possible for the County to standardize on a particular type of material or equipment.

**CHAIN OF COMMAND**

# Cayuga County

In the event of, or imminent danger of, a natural or manmade disaster, the Chief Executive (Mayor/Supervisor) of the community affected will immediately notify the Chairman of the Cayuga County Legislature.

<b><u>POSITION</u></b>	<b><u>NAME</u></b>	<b><u>TELEPHONE</u></b> (Area code 315)
Chairman County Office Bldg., 160 Genesee St., Auburn County Legislature 19 Union Street, Auburn 13021	Peter Tortorici	B: 253-1273 C: 567-6670 H: 258-9728 F: 253-1586 E: <a href="mailto:chairman@cayugacounty.us">chairman@cayugacounty.us</a>
Deputy Chairman 2035 Pinckney Rd., Auburn NY	Paul Pinckney	H: 258-8358 C: 730-1110 E: <a href="mailto:ccdistrict05@cayugacounty.us">ccdistrict05@cayugacounty.us</a>
Majority Leader 114 South St., Auburn, NY	Tim Lattimore	H: 258-9161 C: 406-4073 E: <a href="mailto:ccdistrict13@cayugacounty.us">ccdistrict13@cayugacounty.us</a>
Chairperson, Judicial 4663 State Rte. 38A, Skaneateles, NY	Steven Cuddeback	H: 784-5471 C: 246-8531 E: <a href="mailto:ccdistrict09@cayugacounty.us">ccdistrict09@cayugacounty.us</a>
County Administrator County Office Bldg, 160 Genesee St. Auburn	Thomas Squires	B: 253-1525 F: 253-1586 E: <a href="mailto:tsquires@cayugacounty.us">tsquires@cayugacounty.us</a>

# Cayuga County Continued

<u>POSITION</u>	<u>NAME</u>	<u>ADDRESS</u>	<u>TELEPHONE</u>
County Sheriff Cayuga County Sheriff 7445 County House Rd., Auburn	David Gould		B: 253-4337 H: 704-0173 C: 246-3042 F: 253-4575 E: <a href="mailto:dgould@cayugacounty.us">dgould@cayugacounty.us</a>
County Judge Court House, 157 Genesee St. Auburn, NY	Thomas G. Leone		B: 255-4307 H: 255-2129 F: 255-4312 C: 406-0054
Clerk, County Legislature County Office Building Auburn, NY	Mary Jones		B: 253-1498 H: 255-0208 C: 283-0570 F: 253-1586 E: <a href="mailto:mjones@cayugacounty.us">mjones@cayugacounty.us</a>