



**AGENDA**  
**GOVERNMENT OPERATIONS COMMITTEE**  
**Thursday, March 12, 2020, Chambers – 5:30PM**

**CALL TO ORDER:** By Hon. Ryan Foley, Chair

**MEMBERS:** Legislators Tricia Kerr, Timothy Lattimore, Christopher Petrus, Paul Pinckney, Charlie Ripley, and Ben Vitale (Vice Chair)

**MINUTES TO APPROVE:** February 13, 2019

**APPOINTMENTS:** none

**DEPARTMENT UPDATES FOR COMMITTEE:**

**Cherl Heary and Katie Lacey (Board of Elections) –**

1. The above named resolution is a one year extension of our agreement for ballot design and printing (Phoenix presented a five year extension which we rejected, as we intend to seek local printing bids due to changes in our printing needs).
2. In cooperation with IT we have evaluated the polling location in Cato as an Early Voting site for this year. Connectivity is sufficient for our needs and we have therefore decided to switch the North Early Voting site from Conquest to Cato. We are hoping this will generate more voter participation at the Northern site.
3. We surveyed several possible voting locations in Moravia hoping to move the Southern Early Voting site. None of suggested sites proved workable because of the number of days a location would need to be available. Therefore, the Southern site will again be in the Venice Town Hall.
4. We have added the Casey Park Recreation Center as a second Early Voting location in the City of Auburn. We are continuing our use of the Clifford Park Club House.
5. For the two primaries and general election day we will be again use the Moravia Justice Center.
6. The Commissioners spent considerable time scheduling inspectors and managers for the April Early Voting and Primary Day. Coordinating available of poll workers for the nine Early Voting days and Primary proved difficult, given the winter travel schedules of some of our usual workers.
7. So far this year our office has processed 345 new registrants, 781 transfers and 45 name changes for our records. We processed 237 party affiliation changes prior to the February 14<sup>th</sup> deadline for eligibility for this year's Presidential Primary. (No party changes can be processed from February 14<sup>th</sup> until June 30<sup>th</sup>.)
8. Office staff and Deputies have been busy carrying out the required mail check and verifying the information from the National Change of Address file. All of this must be completed prior to our mailing of address verifications in March.
9. Staff designed and we had printed a supply of "recruiting brochures" for poll workers which will be available at all poll sites. We are hoping to resupply our inspector corps.

**Sheila Smith (Clerk of the Legislature) –**

- State of the County and City Luncheon will take place Thursday, March 26, 2020 at the Hilton Garden Inn, 74 State St., Auburn, NY. Reservations must be in by Tuesday March 17.
- I will complete the Auditing function duties by the end of the month and will send Departments information on who they will need to contact for any auditing questions.
- I have resent the Accident and Vehicle Policies to all Department Heads and asked that they go over these policies with their employees

**Christopher Palermo (County Attorney) – no updates**

**Susan Dwyer (County Clerk) – NO UPDATES**

**Paul Bornemann (Information Technology) –**

- 8x8 Phone system high-level deployment schedule shared with departments this includes
  - Configuration Planning
  - Training
  - Roll out
  - Deployment by building/department schedules are in development
  - Pending final paperwork approvals

- CPS – Northwood Application Implementation wrapping up in March
  - Project completion meeting scheduled for 3/19
- Work planned/budgeted for 2020
  - Adding Munis Upgrade Project
- Follow up from last month's meeting requesting more details about IT spending - attached is the basis for the **2020 application software** budget by "primary" department (pdf file). Some departments do not purchase all of their IT applications / services through IT budget including (examples include: DSS, BOE, DA, and MENTAL HEALTH).

**Jessica Strassle (Veterans) – NO UPDATES**

### **RESOLUTIONS:**

#### **COUNTY CLERK**

3-20-GO-1 Authorizing the Cayuga County Clerk to create and fill a Full Time Index and Recording Clerk

#### **VETERANS:**

3-20-GO-2 Resolution in support amending the New York Alcohol Beverage Control Law with regard to Veterans and Fraternal Organizations.

#### **PURCHASING:**

3-20-GO-3 Update to Cayuga County Purchasing Policy

#### **BOARD OF ELECTIONS:**

3-20-GO-4 Authorizing the Chairman of the Legislature and the Commissioners of the Cayuga County Board of Elections to sign Phoenix, Inc. Contract

#### **ADJOURNMENT: Thursday, April 9, 2020 at 5:30PM**

If you have a disability and need accommodations, please call the Clerk of the Legislature's Office at 253-1308 at least 48 hours before the scheduled meeting to advise what accommodations will be necessary.

# IT Budget Software by Dept.

DEPT/ROLE	DESCRIPTION	COST	%
BUILDINGS	Linstar (IT shared cost)	\$1,500	
<b>BUILDINGS Total</b>		\$1,500	0.16%
CLERK	Info Quick Solutions	\$75,000	
<b>CLERK Total</b>		\$75,000	7.86%
Compliance/CyberSecurity	PAGEFREEZER - Social Media Archiving	\$3,000	
Compliance/CyberSecurity	Sophos (End user Protection)	\$30,000	
Compliance/CyberSecurity	Varonis-Data file compliance	\$24,000	
Compliance/CyberSecurity	Microsoft Advanced Threat Protect	\$22,000	
Compliance/CyberSecurity	KNOWBE4 - phishing/end user training	\$18,000	
Compliance/CyberSecurity	SIEM - COUNTY IT SECURITY	\$25,000	
Compliance/CyberSecurity	QUALYS VULNERABILITY SCAN	\$19,500	
<b>Compliance/CyberSecurity Total</b>		\$141,500	14.83%
DSS	Accufund	\$1,200	
<b>DSS Total</b>		\$1,200	0.13%
E-911	Sam Asher Computing Systems - Hyperreach	\$14,000	
E-911	Priority Dispatch Pro QA EMD and AQUA	\$11,500	
E-911	Stancil Solution - Stancil	\$6,000	
E-911	Intrado - WEST SAFETY	\$60,000	
E-911	Motrola Spillman note:2024 \$120,000		
<b>E-911 Total</b>		\$91,500	9.59%
HEALTH	K - Checks - Kinney Management	\$1,200	
<b>HEALTH Total</b>		\$1,200	0.13%
HIGHWAY	Pubworks	\$4,200	
HIGHWAY	Milton Cat	\$1,400	
HIGHWAY	Cummins/Navistar	\$1,200	
<b>HIGHWAY Total</b>		\$6,800	0.71%
HR	Catalog and Commerce	\$6,500	
<b>HR Total</b>		\$6,500	0.68%
IT Shared Systems	VEEAM Disaster Recovery/Backups	\$12,500	
IT Shared Systems	VMWare vSphere 20 Processor/20 Instance	\$18,000	
IT Shared Systems	SQL SERVER License	\$6,000	
IT Shared Systems	WINDOWS SERVER DATACENTER	\$25,000	
IT Shared Systems	WINDOWS SERVER STANDARD	\$2,500	
<b>IT Shared Systems Total</b>		\$64,000	6.71%
IT-Support/Management	Connectwise - support software	\$20,000	
<b>IT-Support/Management Total</b>		\$20,000	2.10%
JAIL	Blackcreek Jail RCDS Sallyport	\$40,000	
JAIL	COSS Scheduling - Visual Computer Solutions	\$5,000	
<b>JAIL Total</b>		\$45,000	4.72%
MENTAL HEALTH	Docutrac Prescriber	\$750	
MENTAL HEALTH	Docutrac Encounter	\$28,800	
MENTAL HEALTH	E-Panic Panic Button	\$1,500	
MENTAL HEALTH	K - Checks	\$1,700	
<b>MENTAL HEALTH Total</b>		\$32,750	3.43%
Office Productivity	FOXIT_PDF	\$6,000	
Office Productivity	MS Office or MS Office 365/Microsoft 365	\$221,000	
<b>Office Productivity Total</b>		\$227,000	23.80%
PLANNING	ADOBE Cloud	\$3,000	
PLANNING	Intuit Quickbooks	\$280	
<b>PLANNING Total</b>		\$3,280	0.34%
PROBATION	Automon LLC	\$7,800	

<b>PROBATION Total</b>		\$7,800	0.82%
REAL PROP	ESRI ArcGIS	\$17,400	
REAL PROP	AutoCAD	\$800	
<b>REAL PROP Total</b>		\$18,200	1.91%
SHERIFF	Leadsonline, LLC - 7188 - Renewal 6/1/2019 -	\$3,000	
SHERIFF	Motion XE Prem (Net Motion) - 4845 - Renew	\$8,000	
SHERIFF	CivilServe Softcode - 13309 Renewal 1/14/201	\$5,000	
SHERIFF	LiveScan (Onondaga County Bills us) - 738 - R	\$1,000	
SHERIFF	RICI(Booking Prog) Live Scan	\$4,000	
SHERIFF	UFED Touch Licensing	\$4,000	
SHERIFF	Rapid Identity 2FA Authentication	\$1,200	
SHERIFF	Xerox Perfect Vision - 9342 - Renewal 9/19 - 9	\$2,800	
<b>SHERIFF Total</b>		\$29,000	3.04%
TREASURER	Tyler MUNIS	\$111,324	
TREASURER	Allen Tunnel Wintax	\$35,000	
<b>TREASURER Total</b>		\$146,324	15.34%
VETERANS	VECTRASPEC	\$2,000	
<b>VETERANS Total</b>		\$2,000	0.21%
W and M	Win-Wam - Nover Engelstein and Assoc	\$700	
<b>W and M Total</b>		\$700	0.07%
Website	Civic Plus Web Site Hosting note: 2021 drops to \$9500	\$27,160	
Website	Civic Plus AUDIOALLY 508c compliance (\$5000 /yr)	\$5,500	
<b>Website Total</b>		\$32,660	3.42%
<b>Grand Total</b>		<b>\$953,914</b>	

3-20-20-1

RESOLUTION NO. \_\_\_\_\_

3/24/20

CC Create-Fill FT Index-Recording Clerkrev

**Authorizing the Cayuga County Clerk to create and fill a Full Time Index and Recording Clerk**

BY: Ryan Foley, Chairperson, Government Operations Committee  
Christopher Petrus, Chairperson, Ways and Means Committee

WHEREAS, As a result of eliminating a FT Sr. Clerk (position #7284) in the County Clerk's Office and creating a FT Time Index & Recording Clerk position, there is a vacancy in the County Clerks Recording Office; and

WHEREAS, there was no Civil Service list from which to hire, a test was given in November, 2019, and a new list will soon be available in which to choose a candidate to fill this essential position on a permanent basis; and

WHEREAS, the funding for the Full Time Index & Recording Clerk, has been appropriated in the 2020 County Clerk (A14101-51002) salary account in the amount of \$39,099 probation; \$39,449 1<sup>st</sup> step; now therefore be it

RESOLVED, that Cayuga County Clerk Susan Dwyer be authorized to create and fill the position of Index & Recording Clerk, with a full time position with fringe benefits pursuant to the Cayuga County Compensation Plan, Part I-CSEA Bargaining, in the title Index & Recording Clerk; and be it further

RESOLVED, that this full time position be filled in accordance with the Civil Service Rules and Regulations and the policies of the County of Cayuga.

**Government Operations Committee. Ways and Means Committee.**

\_\_\_\_\_  
Ryan Foley, Chairperson

\_\_\_\_\_  
Christopher Petrus, Chairperson

\_\_\_\_\_  
Tricia Kerr

\_\_\_\_\_  
Keith Batman

\_\_\_\_\_  
Timothy Lattimore

\_\_\_\_\_  
Elane Daly

\_\_\_\_\_  
Chris Petrus

\_\_\_\_\_  
Andy Dennison

\_\_\_\_\_  
Paul Pinckney

\_\_\_\_\_  
Ryan Foley

\_\_\_\_\_  
Charlie Ripley

\_\_\_\_\_  
Benjamin Vitale

\_\_\_\_\_  
Benjamin Vitale

\_\_\_\_\_  
Tucker Whitman

Co. Atty: 

## Authorization to Create/Fill

A copy of this completed form **MUST** be attached to ALL Civil Service MSD-426 forms when filling a position.

---

Date 2/27/2020

---

Authorization To: Create and Fill

---

**\*\* New Position Duties Statement (NPDS) - Short Form  
REQUIRED IF the title exists within the department**

---

**\*\* New Position Duties Statement (NPDS) - Long Form  
REQUIRED IF the title does NOT exist within the department**

---

Do you anticipate this request to result in fill-behinds? No

---

Cayuga County Department County Clerk

---

Job Title Being Requested (Exact Civil Service Title) Index and Recording Clerk

---

Position Control Number New Position # @ Resolution

---

Position Status Permanent

---

Position Designation Full-Time

---

Budget Account Number A14101-51002

---

Is a position being abolished to create the new position? No

---

Is the salary of requested position in the current comp plan? Yes

---

Comp Plan Requested IS IN CSEA

---

CSEA Grade 12

---

Probationary Salary Amount \$39,099

---

Step 4 Amount (CSEA) \$43,340

---

<b>Starting Salary for Position Requested</b>	<b>\$39,099</b>
<b>Justification for Salary Requested</b>	<p>I am asking to fill this position for now for the following reasons:  In late 2019, we abolished a Senior Clerk Position and created a Index &amp; Recording Clerk.  At that time there was no current Civil Service list.  At test was given in November, 2019 and we expect the results from the test very soon.  I would like to fill this position as soon as possible to get a person trained asap.</p>
<b>Does position include fringe benefits?</b>	<b>Yes</b>
<b>What is the justification for filling this position AND why is it important for your department?</b>	<p>This position will fill a much-needed vacancy since we changed the title.  This person will work at one of the three counters where recording, filing and many other procedures take place.</p>
<b>How is this position funded?</b>	<b>Budget</b>
<b>Is this a reimbursed position?</b>	<b>No</b>
<b>What will the fiscal impact of filling this position in your budget this year and in future fiscal years?</b>	<b>We generate a great amount of revenue in the County Clerks Recording Office and will continue to do so.</b>
<b>Department Head</b>	<b>Susan M. Dwyer</b>
<b>Date</b>	<b>2/26/2020</b>
<b>Attestation</b>	<b>I am the department or agency head listed above authorized to submit by the appointing authority</b>
(Section Break)	

LHLippoldtHR Admin Approved with Changes to ATF  
Need Pos# 3/2/2020

3-20-60-2

RESOLUTION NO. \_\_\_\_\_ 3-24-20

VET Support Amend ABC Law

**RESOLUTION TO SUPPORT AMENDING THE N.Y. ALCOHOL BEVERAGE CONTROL LAW WITH REGARD TO VETERANS AND FRATERNAL ORGANIZATIONS**

By: Hon. Ryan Foley, Chair, Government Operations

WHEREAS, support for the New York State Legislature to amend certain provisions of the N.Y. Alcohol Beverage Control Law ("ABC Law") relating to veterans' and fraternal organizations' ability to conduct small games of chance on-premises is gathering support state-wide; and

WHEREAS, these organizations benevolently donate large amounts of money to community and youth causes, and by enacting amendments to the ABC Law, these organizations to increase membership and as well as additional contributions; now, therefore, be it

RESOLVED, that the Cayuga County Legislature supports efforts to amend the ABC Law for the benefit of Veterans' organizations and the communities in which they serve; and be it further

RESOLVED, that the Clerk of the Cayuga County Legislature is directed to send a certified copy of this resolution to those elected New York State Representatives that serve Cayuga County.

**Government Operations Committee**

\_\_\_\_\_  
Ryan Foley, Chair

\_\_\_\_\_  
Tricia Kerr

\_\_\_\_\_  
Timothy Lattimore

\_\_\_\_\_  
Chris Petrus

\_\_\_\_\_  
Paul Pinckney

\_\_\_\_\_  
Charlie Ripley

\_\_\_\_\_  
Benjamin Vitale

Co. Atty: 

3-20-20-3

RESOLUTION NO. \_\_\_\_\_

3/24/20

PUR updatepurchasepolicy20

**UPDATE TO CAYUGA COUNTY PURCHASING POLICY**

By: Ryan Foley, Government Operations

**WHEREAS**, Section 104-B of the General Municipal Law requires the governing board of the County of Cayuga to adopt written internal policies and procedures governing all procurement of goods and services not required by law to be made pursuant to competitive bidding; and

**WHEREAS**, the county desires to update its current Cayuga County Purchasing Policy and Procurement Manual; and

**WHEREAS**, the County declares its intention to purchase competitively without prejudice and to seek maximum operational value for every dollar expended; now, therefore, be it

**RESOLVED**, that the attached Cayuga County Purchasing Policy and Procurement Manual, be updated and approved, effective March 24<sup>th</sup>, 2020.

**Government Operations**

\_\_\_\_\_  
Ryan Foley, Chair

\_\_\_\_\_  
Tricia Kerr

\_\_\_\_\_  
Tim Lattimore

\_\_\_\_\_  
Benjamin Vitale

\_\_\_\_\_  
Charles Ripley

\_\_\_\_\_  
Christopher Petrus

\_\_\_\_\_  
Paul Pinckney

Co. Atty: \_\_\_\_\_

# *Cayuga County Purchasing Policy and Procurement Manual*



# 2020

**Resolution No.  
Adopted, March 24, 2020**

"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)

## **CAYUGA COUNTY POLICY MANUAL**

### **Section 60**

**POLICY NAME:** PURCHASING POLICY AND PROCUREMENT MANUAL

**EFFECTIVE DATE:** March 24, 2020

**RESOLUTION NUMBER:**

**SUPERSEDES POLICY OF:** 7-27-10, Resolution 339-10

## **Purchasing Policy and Procedures Manual Index**

<b>Annual Review</b>	<b>Page 12</b>
<b>Bid Approval Process</b>	<b>Page 7</b>
<b>Definitions</b>	<b>Page 5</b>
<b>Emergency Purchases</b>	<b>Page 10-11</b>
<b>Ethics of Purchasing</b>	<b>Page 4-5</b>
<b>Introduction</b>	<b>Page 2-4</b>
<b>Invoice Entry</b>	<b>Page 12</b>
<b>Journal Entry</b>	<b>Page 12</b>
<b>Limits and Guidelines</b>	<b>Page 6-8</b>
<b>Mission Statement</b>	<b>Page 2</b>
<b>Policy and Control</b>	<b>Page 8-9</b>
<b>Petty Cash</b>	<b>Page 12</b>
<b>Professional Services</b>	<b>Page 7-8</b>
<b>Public Works</b>	<b>Page 7</b>
<b>Purchase Requisition</b>	<b>Page 9-10</b>
<b>Receipt of Goods</b>	<b>Page 11</b>
<b>Second Hand Equipment</b>	<b>Page 12</b>
<b>Sole Source &amp; Single Source Purchases</b>	<b>Page 9</b>
<b>Standardization</b>	<b>Page 13</b>

**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.

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 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 Purchasing Office and processed according to the guidelines set forth under the appropriate section of the attached Purchasing Procedures.
- ❖ The Cayuga County Purchasing Office, in conjunction with the departments, 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 Purchasing Office or specific departments 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 Purchasing Office.
- ❖ Suppliers will be removed from the bidders list if they make a formal written request, or if the County 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 Sub 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 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.
- ❖ 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 Purchasing 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.

### **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 Purchasing Office 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.
- "RFP" request for proposal, typically related to professional services
- "RFQ" request for quotes
- "MWBE" Minority/Woman owned Business Enterprise

## **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.

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.

**GOODS/COMMODITIES**

<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 \$3,000	Yes	No	N/A	N/A	Yes
\$3,000.01- \$10,000	Yes	Yes	Verbal or Written	Department	Yes
\$10,000.01 - \$19,999.99	Yes	Yes	Written	Department (with Purchasing's assistance)	Yes
\$20,000 & over	Sealed Bid			Purchasing	

*All amounts represent an aggregate amount over a rolling 12 month period starting with the first purchase of that commodity*

A single purchase of a good/commodity less than \$25 does not require a purchase order. Order may not be split up to keep purchases below \$25.

All items purchased in excess of \$3000 must have 3 quotes unless they are available from a contract such as a New York State Contract, an approved County Contract or an approved Group Purchasing Contract. All quotes obtained by the department must be attached to the purchase requisition in MUNIS. 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.

**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 with purchasing's assistance
\$35,000 & over	Sealed Bid

*All amounts represent an aggregate amount over a rolling 12 month period starting with the first purchase of that public work*

All items purchased in excess of \$5001 up to \$34,999.99, must have 3 quotes unless they are available from a contract such as a New York State Contract, an approved County Contract or an approved Group Purchasing Contract.

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 pursuant to authorization 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 requisitioning 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 Purchasing Director and County Attorney to discuss the rejection. The requisitioning 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**

For the procurement of non-contract professional services as defined by the General Municipal Law, the following procedures shall apply:

A) Cost of up to \$10,000.99 – 3 verbal or written quote to be obtained by the department.

B) Cost of \$10,001 - \$74,999.99 – Three formal written quotes will be obtained, reviewed and evaluated by a County committee of at least three people (consisting of Purchasing Director, Department head and others chosen by Purchasing Director) based on criteria necessary to obtain the best value for the County with the award made to the vendor who is ranked highest in accordance with procedures developed by the County. If

the service can only be obtained from a sole source, this must be documented in the procurement record.

C) Cost over \$75,000 – Formal Request for Proposal (RFP) process will be completed in accordance with procedures developed by Cayuga County. Each RFP will be reviewed and evaluated by a County committee of at least three people (consisting of Purchasing Director, Department head and others chosen by Purchasing Director) based on criteria necessary to obtain the best value for the County with the award made to the vendor who is ranked highest in accordance with procedures developed by the County

A minimum of three firms and/or individuals shall be solicited for each professional service contract. In all cases a good faith effort shall be made to obtain the required number of quotations or proposals. In the event that the required number of quotations or proposals are not obtained supporting documentation shall be maintained to record the circumstance. Under no circumstance shall the inability to obtain the quotations or proposals lead to the purchasing process being circumvented.

Contracts for professional services must be made in the best interest of the County. RFQs and RFPs will consider multiple factors such as price, staffing, reliability, skill, education and training, experience and references.

The Chair of the Legislature, or his/her designee can waive the RFP and quoting procedure for professional services in instances where a waiver is in the public interest based on the circumstances including, but not limited to, financial, legal or public necessity grounds.

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. 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. 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.
  10. The Annual Financial Disclosure Form should be filled to assist in identifying any conflict of interest.
  11. Cayuga County will always make a good faith effort to meet any MWBE or Service Disabled Veteran Owned business requirements set forth by funding sources.

Legal notices are published in the three official County newspapers and the bidnet website, informing the public of the products or services being bid and any other sources the Purchasing Director deems appropriate

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.

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 the case of emergencies, true leases and sole source, the requesting department and the Purchasing Office shall analyze, justify and clearly document the reasons behind the award. No awards shall be made before contacting the Purchasing Department. For professional service please refer to the Professional Service portion of this policy.

### **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 Purchasing Director 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.

### **PURCHASE REQUISITION**

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 Purchasing 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 Purchasing Office may procure the desired items/service in a timely fashion.

### **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 Purchasing 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 Attorney 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 within 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 Purchasing 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
- All utilities: Phones (including cellular), Sewer, Water and Electric
- Dues and Memberships
- Postal fees
- Pre-employment physicals
- Subscriptions
- Contract payments of professional services 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.

3-20-60-4

RESOLUTION NO. \_\_\_\_\_

3/24/20

BOE Phoenix Graphics, Inc. rev

**Authorizing the Chairman of the Legislature and the Commissioners of the Cayuga County Board of Elections to sign Phoenix Graphics, INC contract**

BY: Ryan Foley, Chairman of the Government Operations Committee  
Christopher Petrus, Chairman of the Ways & Means Committee.

WHEREAS, the Cayuga County Board of Elections desires to improve the conduct of local, state and federal elections by providing faster and more quality printing for election ballots and printing supplies; and

WHEREAS, New York State has approved two vendors for the acquisition of ballots, one of which is in Albany, NY, the other, Phoenix Graphics, is located in Rochester, NY; and

WHEREAS, Phoenix Graphics has the knowledge, expertise, required printing capabilities, associated technology and services to provide a quality solution to the Board's needs for printing election ballots and other elections supplies; and

WHEREAS, the Board in evaluating prospective suppliers of services has selected Phoenix Graphics as best suited to their requirements; now therefore be it

RESOLVED, upon such form as may be approved by the County Attorney

RESOLVED, that the Chairman of the Cayuga County Legislature and the Commissioners of the Cayuga County Board of Elections are hereby authorized to sign a Contract with Phoenix Graphics from January 1, 2020 to December 31, 2020.

**Government Operations Committee**

**Ways & Means Committee**

\_\_\_\_\_  
Ryan Foley, Chair

\_\_\_\_\_  
Christopher Petrus, Chair

\_\_\_\_\_  
Tricia Kerr

\_\_\_\_\_  
Keith Batman

\_\_\_\_\_  
Timothy Lattimore

\_\_\_\_\_  
Elane Daly

\_\_\_\_\_  
Chris Petrus

\_\_\_\_\_  
Andy Dennison

\_\_\_\_\_  
Paul Pinckney

\_\_\_\_\_  
Ryan Foley

\_\_\_\_\_  
Charlie Ripley

\_\_\_\_\_  
Benjamin Vitale

\_\_\_\_\_  
Benjamin Vitale

\_\_\_\_\_  
Tucker Whitman

Co. Atty: 