

HUMAN RESOURCES & INSURANCE COMMITTEE  
March 30, 2021 4:00 p.m.

AGENDA

Chair: Darren O'Connor
Members:
Joe Grasso
John Lant
Jon Schopf - VC
Tom Richardson
Matt Veitch
Tom Wood

- I. Welcome and Attendance
- II. Approval of the minutes of the March 2, 2021 meeting
- III. Workers Compensation Report
- IV. Resolution Authorizing Renewal of Workers' Compensation Excess Liability Coverage
- V. Authorizing the County's Insurance Coverages through May 8, 2022
- VI. Resolution Authorizing Amendment(s) to the 2021 Compensation Schedule Under the County Treasurer and County Attorney
- VII. Resolution Authorizing the Creation of a Petty Cash Policy to be Included in the Saratoga County Policies and Procedures Manual
- VIII. Vacancy Review
- IX. Other Business
- X. Adjournment

Due to public health and safety concerns related to COVID-19, there is limited capacity in the Boardrooms. The public will have an opportunity to hear the meeting live via an audio signal using this call-in number and access code:

Dial: 1-978-990-5145 Access Code: 1840389

Human Resources and  
Insurance Committee  
Meeting

March 30, 2021





**February  
2021 Data**



Participant	Total Paid	Claims Received	24/7 Utilization	
			Yes	No
City of Mechanicville-Public Works	\$2,395.40	0	0	0
City of Saratoga Springs-All Other	\$429.51	0	0	0
City of Saratoga Springs-Fire Department	\$3,697.95	1	1	0
City of Saratoga Springs-Police Department	\$4,773.39	0	0	0
City of Saratoga Springs-Public Works	\$5,294.86	0	0	0
Clifton Park Halfmoon Emergency Corp-Paid	\$7,979.23	1	1	0
Clifton Park Water Authority	\$5,253.65	0	0	0
Malta-Stillwater Ambulance Corps-Volunteer	\$2,110.52	0	0	0
Saratoga Co -Public Health Nursing Service	\$896.36	0	0	0
Saratoga Co -Public Works Building & Grnds	\$2,532.19	2	2	0
Saratoga County-Animal Shelter	\$158.74	3	3	0
Saratoga County-Board of Elections	\$1,094.70	0	0	0
Saratoga County-District Attorney	\$402.32	0	0	0
Saratoga County-Maplewood Manor	\$7,518.43	0	0	0
Saratoga County-Public Works Highway	\$15,924.18	1	1	0
Saratoga County-Sewer District	\$33,793.58	1	1	0
Saratoga County-Sheriff	\$3,036.90	8	7	1
Saratoga County-Social Services	\$4,020.17	1	1	0
Saratoga County-SYEP	\$206.90	0	0	0
Schuylerville-Victory Board-Water Mgmt	\$943.09	0	0	0
Town of Charlton-All Other	\$551.92	0	0	0
Town of Charlton-Police Department	\$0.00	1	1	0
Town of Clifton Park-All Other	\$1,965.52	0	0	0
Town of Clifton Park-Public Works	\$7.50	1	0	1
Town of Corinth-Jessups Landing EMS-Paid	\$1,382.72	0	0	0
Town of Edinburg-All Other	\$2,193.68	0	0	0
Town of Edinburg-Public Works	-\$128.14	0	0	0
Town of Galway-Public Works	\$1,317.00	1	1	0
Town of Hadley-All Other	\$582.52	0	0	0
Town of Hadley-Public Works	\$1,635.50	0	0	0
Town of Halfmoon-All Other	\$1,236.00	0	0	0
Town of Halfmoon-Public Works	\$1,429.95	2	2	0
Town of Malta-Public Works	\$92.30	0	0	0
Town of Moreau-All Other	\$779.14	0	0	0
Town of Moreau-Public Works	\$712.80	0	0	0
Town of Northumberland-All Other	\$127.00	0	0	0
Town of Saratoga-Public Works	\$70.60	0	0	0
Town of Waterford-All Other	\$749.55	0	0	0



**February  
2021 Data**



Participant	Total Paid	Claims Received	24/7 Utilization	
			Yes	No
Town of Waterford-Public Works	\$13.50	0	0	0
Town of Wilton-Public Works	\$208.19	0	0	0
Village of Ballston Spa-Public Works	\$1,462.92	0	0	0
Village of Corinth-All Other	\$312.88	0	0	0
Village of Schuylerville-Public Works	\$2,871.72	1	0	1
Village of South Glen Falls-Police Dept.	\$215.67	0	0	0
Vol Fire Dept-Ballston Lake Fire Dept.	\$560.65	0	0	0
Vol Fire Dept-Clifton Park-Vischer Ferry Fre	\$132.08	0	0	0
Vol Fire Dept-Edinburg Volunteer Fire Co	\$843.61	0	0	0
Vol Fire Dept-Greenfield Fire District	\$5,237.39	1	1	0
Vol Fire Dept-Malta Ridge Vol Fire Co	\$49.22	0	0	0
Vol Fire Dept-Vil of Round Lake Fire Co	\$123.18	0	0	0
Vol Fire Dept-Vil of Schuylerville-Schuyler	\$4,620.00	0	0	0
Vol Fire Dept-Vil of South Glens Falls Fire	\$12,209.25	0	0	0
Vol Fire Dept-Vil of Stillwater-Newland Wd	\$1,600.00	0	0	0
Vol Fire Dept-Vil of Victory-David Nevins	\$100.78	0	0	0
Vol Fire Dept-West Crescent Fire District	\$334.99	1	0	1
Volunteer Fire Dept.-Providence Fire Dept.	\$104.53	0	0	0
Wilton Emergency Squad-Paid	\$1,749.89	1	1	0
<b>Grand Total</b>	<b>\$149,918.08</b>	<b>27</b>	<b>23</b>	<b>4</b>



# SARATOGA COUNTY

## AGENDA ITEM REQUEST FORM

**TO:** Steven Bulger, County Administrator  
Hugh Burke, Interim County Attorney  
Pam Wright, Clerk of the Board

**CC:** Jason Kemper, Planning Director  
Therese Connolly, Deputy Clerk of the Board  
Matt Rose, Management Analyst

**FROM:** Margaret McNamara, Director of Human Resources

**DATE:** March 22, 2021

**RE:** Workers' Compensation Employer Excess Liability coverage

**COMMITTEE:** Human Resources & Insurance

1. Is a Resolution Required:  **YES** or  **NO**  
(If YES, please complete #2- #10) (If NO, skip to #10 and provide reason for bringing the item)
2. Is a Budget Amendment needed:  
(If yes, budget lines and impact must be provided)  
No
3. Are there Amendments to the Compensation Schedule:  
(If yes, provide details)  
No
4. Specific details on what the resolution will authorize:  
Renewal of the third party employer excess liability insurance coverage for Workers' Compensation for the County's Workers' Compensation Plan. The policy protects the County against any third-party lawsuits when an employee has sustained a severe injury.
5. Does this item require hiring a Vendors/Contractors:
  - a. Were bids/proposals solicited:
  - b. Is the vendor/contractor a sole source:
  - c. Commencement date of contract term: 4/15/21
  - d. Termination of contract date: 4/15/22
  - e. Contract renewal and term: 1 Year Renewal
  - f. Contact information: Capitol Indemnity Corporation
  - g. Is the vendor/contractor an LLS, PLLC or partnership:
  - h. State of vendor/contractor organization:
  - i. Is this a renewal agreement:  **YES** or  **NO**
  - j. Vendor/Contractor comment/remarks:



# SARATOGA COUNTY

## AGENDA ITEM REQUEST FORM

6. Is this an annual housekeeping resolution: Yes  
(If yes, attach the last approved resolution)
  - a. What were the terms of the prior resolution 4/15/20-4/15/21
  - b. Are the terms changing: No
  - c. What is the reason for the change in terms:
  
7. Is a new position being created: No
  - a. Effective date
  - b. Salary and grade
  
8. Is a new employee being hired: No
  - a. Effective date of employment
  - b. Salary and grade
  - c. Appointed position:
  - d. Term:
  
9. Is a grant being accepted: No
  - a. Source of grant funding:
  - b. Amount of grant:
  - c. Purpose grant will be used for:
  - d. Equipment and/or services being purchased with the grant:
  - e. Time period grant covers:
  
10. Remarks/Reasoning (Supporting documentation must be attached to this form):

Annual premium \$23,868.00, renewal policy period 4/15/21-4/15/22. This is an increase of \$1,047.00 due to an increase in employees.



# Proposal for Insurance

**Policy Type:** Excess Employers Liability

**Proposal #:** 0665221A

**Date Prepared:** February 26, 2021

This proposal is based on underwriting and rating information contained in your application or otherwise provided by you.

Review carefully as the coverage and terms indicated may not be the same as you have requested.

Unless otherwise stated in the requirements of binding / subjectivities, terms are valid for no more than 30 calendar days from the date of this proposal, or the effective date, whichever is sooner.

**NAMED INSURED**

Saratoga County Self Insurance Plan  
40 McMaster St  
Ballston Spa, NY 12020

**PRODUCING BROKER**

Amsure, Adirondack Trust Co Financial Svcs, Inc., d  
31 Church Street  
4th Floor  
Saratoga Springs, NY 12866

**NAME OF INSURER**

Capitol Indemnity Corporation

**AM BEST RATING**

A VIII

**PROPOSED POLICY PERIOD:**

From 4/15/2021 until 4/15/2022 at 12:01 A.M. Standard Time at mailing address shown above

**POLICY COST**

Policy Premium: \$23,868.00

**Total Cost: \$23,868.00**

**REQUIREMENTS OF BINDING / SUBJECTIVITIES**

Russell Bond must receive request to bind on or before requested effective date.

Required documents may be emailed or faxed for binding.

Additional information requested or otherwise obtained may require this proposal be modified or withdrawn.

To bind:

- Written request from you to bind, including desired effective date, terms and conditions
- Signed and completed Terrorism Disclosure Form - either accepting or rejecting coverage

**COVERED LOCATION(S)**

Not applicable

**LIMITS**

\$1,000,000 Each Occurrence

## **DEDUCTIBLE / RETENTION**

**TYPE:** SIR

\$100,000 Each Occurrence Including Claims Expense

## **COVERAGES / ENDORSEMENTS / EXCLUSIONS**

The title for each endorsement listed is for convenience purposes only and is not meant to define the scope of coverage provided. Specimen Policy and Endorsements are available upon request.

Product: SPECIFIC EXCESS EMPLOYER LIABILITY

Policy Form: Occurrence

- Premium is based on 3,384 employees (2,153 full time, 1,231 part time and 87 paid ambulance employees) and 1,885 volunteer firemen and ambulance
- Policy Covers Employees of Saratoga County Self Insurance Plan
- Form EEL 003 (10-10) Specific Excess Employers Liability Insurance Policy
- Form EEL 007 (01-08) Exclusion of Certified Acts of Terrorism
- Form EEL 008 (08-10) Direct Action Exclusion

## **COVERAGE OPTIONS AVAILABLE**

Terrorism Coverage: \$238.00 additional premium including any taxes and fees

Acceptance or rejection is required at the time of binding using the attached Disclosure of Terrorism Coverage Form. If the Insured rejects this option a Terrorism exclusion will be attached to the policy. If the Insured accepts the coverage, Terrorism coverage will be included with the policy. This coverage cannot be added to the policy mid-term.

## **NOTICE OF EXCESS LINES PLACEMENT**

Not applicable - admitted risk.

## **PROPOSAL OFFERED BY**

Amsure, Adirondack Trust Co Financial Svcs, Inc., d  
31 Church Street 4th Floor  
Saratoga Springs, NY 12866  
(800) 464-5300



3/17/20



**SARATOGA COUNTY BOARD OF SUPERVISORS**

**RESOLUTION 70 - 2020**

**Introduced by Supervisors Wood, Grattidge, Lawler, Lucia, Peck, Winney and Wright**

**AUTHORIZING RENEWAL OF WORKERS' COMPENSATION EXCESS LIABILITY COVERAGE**

WHEREAS, Resolution 81-2019 authorized renewal of the third party employer excess liability insurance coverage for Workers' Compensation for the County's Workers' Compensation Plan; and

WHEREAS, the County's third party employer excess liability coverage for Workers' Compensation is due to expire on April 15, 2020 and the continuation of such insurance coverage is appropriate; and

WHEREAS, our Human Resources and Insurance Committee has recommended that such excess liability coverage be continued through Capitol Indemnity Corporation for the annual premium of \$22,821; now, therefore, be it

RESOLVED, that the Saratoga County Workers' Compensation Plan renew its third party employers' excess liability coverage for Workers' Compensation through Capitol Indemnity Corporation of Madison, Wisconsin for the annual premium of \$22,821, covering the policy term April 15, 2020 to April 15, 2021.

BUDGET IMPACT STATEMENT: No budget impact.

STATE OF NEW YORK )  
  )  
COUNTY OF SARATOGA )

I, Pamela A. Wright, Clerk of the Board of Supervisors of Saratoga County, do hereby certify that the foregoing is a true copy, and the whole thereof, of a resolution duly adopted by the Board of Supervisors of said County, on the 17<sup>th</sup> day of March 2020. IN WITNESS WHEREOF, I have hereunto subscribed my name and affixed hereto the official seal of said Board of Supervisors this 19<sup>th</sup> day of March 2020.

*Pamela A. Wright*  
\_\_\_\_\_  
Clerk of the Board of Supervisors  
Saratoga County, New York  
**MAR 26 2020**



# SARATOGA COUNTY

## AGENDA ITEM REQUEST FORM

**TO:** Steve Bulger, County Administrator  
Hugh Burke, Interim County Attorney  
Pam Wright, Clerk of the Board

**CC:** Jason Kemper, Planning Director  
Therese Connolly, Deputy Clerk of the Board  
Matt Rose, Management Analyst

**FROM:** Matthew Rose, Management Analyst

**DATE:** 3/26/21

**RE:** Saratoga County's property and casualty insurance coverages

**COMMITTEE:** HR & Insurance

1. Is a Resolution Required:  YES or  NO  
(If YES, please complete #2- #10) (If NO, skip to #10 and provide reason for bringing the item)

2. Is a Budget Amendment needed:  
(If yes, budget lines and impact must be provided)

**No**

3. Are there Amendments to the Compensation Schedule:  
(If yes, provide details)  
No

4. Specific details on what the resolution will authorize:  
Authorizing the renewal of the County's property and casualty insurance policies proposed by Cool Insuring and Marshall Sterling Insurance.

5. Does this item require hiring a Vendors/Contractors:

- Were bids/proposals solicited:
- Is the vendor/contractor a sole source:
- Commencement date of contract term: 5/9/21
- Termination of contract date: 5/8/22
- Contract renewal and term:
- Contact information:
- Is the vendor/contractor an LLS, PLLC or partnership:
- State of vendor/contractor organization:
- Is this a renewal agreement:  YES or  NO
- Vendor/Contractor comment/remarks:



# SARATOGA COUNTY

## AGENDA ITEM REQUEST FORM

6. Is this an annual housekeeping resolution:  
(If yes, attach the last approved resolution)
- What were the terms of the prior resolution
  - Are the terms changing: Yes, 5/9/21 to 5/8/22
  - What is the reason for the change in terms:  
Coverages are set to expire on 5/8/21 and reassessment of coverages with individual carriers is needed to protect the County
7. Is a new position being created:
- Effective date N/A
  - Salary and grade N/A
8. Is a new employee being hired:
- Effective date of employment N/A
  - Salary and grade N/A
  - Appointed position: N/A
  - Term:  
N/A
9. Is a grant being accepted:
- Source of grant funding: N/A
  - Amount of grant: N/A
  - Purpose grant will be used for: N/A
  - Equipment and/or services being purchased with the grant: N/A
  - Time period grant covers:  
N/A
10. Remarks/Reasoning (Supporting documentation must be attached to this form):  
See attached background provided by the County's insurance broker, Cool Insuring for a breakdown of the coverages for each specific carrier.

**Saratoga County**  
**Proposal Premium Comparison**  
**05/08/2021 to 05/08/2022**

EXPIRING	COVERAGE	PROPOSAL
213,500	Property [Chubb]	234,489
Incl in prop	Boiler & Machinery [Chubb]	Incl in prop
23,706	Inland Marine [Chubb]	25,896
100,044	Gen Liability [Travelers] (PKG)	91,157
58,000	Public Officials [Travelers]	62,390
71,000	Law Enforcement [Travelers]	81,630
10,100	Airport Liability [ACE]	11,615
20,089	Cyber Liability [AXIS - PRS]	TBD
5,196	Crime [Travelers]	5,196
750	OCP [Travelers]	750
145,770	Automobile [Travelers]	151,687
79,560	Public / Mental Health LIP [Allied World]	99,202
35,541	Public / Mental Health [5] Mil Excess [Allied World]	43,583
97,000	Umbrella - [10] Mil [Travelers]	101,478
4,278	Drone [American Alternative Ins Corp]	5,135
3,823	Vet Professional	4,185
<b>\$868,357</b>	<b>ACCT TOTAL</b>	<b>\$918,393</b>
<b>10,000</b>	<b>Loss Fund</b>	<b>20,000</b>

**PAYMENT TERMS:**

Agency Bill – Prepaid – all carriers

**OTHER LOB EXPOSURE COMPARISON**

LOB	Expiring Exposure	Renewal Exposure
Property	312,781,633	312,781,633
Inland Marine	20,216,260	20,489,021
Automobile	444	410

**GL EXPOSURE / RATE COMPARISON**

Classification	Code	Expiring Exposure	Renewal Exposure
Governmental Subdivision	44112	Per Budget	Per Budget
Streets/Roads/Highways	48727	362 Miles	362 Miles
Streets/Roads/Highways/Bridges	48727	104 Bridges	104 Bridges
Penal Institutions	46700	112,500 Sq Ft.	112,500 Sq Ft.
Boats – not for rent	40117	6 boats	6 boats
Dam/Levee or Dike Existence	41700	1	1
Street or Road Construction	99315	If Any	If Any
Buildings or Premises Bank or Office	61215	15,000 Sq Ft	15,000 Sq Ft



# SARATOGA COUNTY

## AGENDA ITEM REQUEST FORM

**TO:** Steven Bulger, County Administrator  
Hugh Burke, Interim County Attorney  
Pam Wright, Clerk of the Board

**CC:** Jason Kemper, Planning Director  
Therese Connolly, Deputy Clerk of the Board  
Matt Rose, Management Analyst

**FROM:** Margaret McNamara, Director of Human Resources

**DATE:** March 23, 2021

**RE:** Position Reclassification(s) under County Treasurer's Department

**COMMITTEE:** Human Resources and Insurance

1. Is a Resolution Required:  YES or  NO  
(If YES, please complete #2- the item) #10) (If NO, skip to #10 and provide reason for bringing
2. Is a Budget Amendment needed: **No – Reclassification(s) will result in a savings of \$40,372**  
**\*Please see additional details under remarks\***
3. Are there Amendments to the Compensation Schedule:  
**Yes – Amended as shown below:**  
**Under County Treasurer**
  - **Reclassify (1) Foreclosure Supervisor to (1) Foreclosure Specialist**
  - **Create (1) Paralegal Specialist, Grade 10****Under County Attorney**
  - **Abolish (1) Legal Assistant – Real Estate****\*Please see additional details under remarks\***
4. Specific details on what the resolution will authorize:  
**Authorizing an amendment to the 2021 Compensation Schedule to reclassify (1) Foreclosure Supervisor to (1) Foreclosure Specialist under the County Treasurer, create (1) Paralegal Specialist, Grade 10, under the County Treasurer and to abolish (1) Legal Assistant – Real Estate under the County Attorney's Department.**
5. Does this item require hiring a Vendors/Contractors: **NO**
  - a. Were bids/proposals solicited:
  - b. Is the vendor/contractor a sole source:
  - c. Commencement date of contract term:
  - d. Termination of contract date:



# SARATOGA COUNTY

## AGENDA ITEM REQUEST FORM

- e. Contract renewal and term:
  - f. Contact information:
  - g. Is the vendor/contractor an LLS, PLLC or partnership:
  - h. State of vendor/contractor organization:
  - i. Is this a renewal agreement:  YES or  NO
  - j. Vendor/Contractor comment/remarks
6. Is this an annual housekeeping resolution:  
**NO**  
(If yes, attach the last approved resolution)
- a. What were the terms of the prior resolution
  - b. Are the terms changing:
  - c. What is the reason for the change in terms:
7. Is a new position being created: **YES**
- a. Effective date: **4/21/21**
  - b. Salary and grade:
    - **Paralegal Specialist, Grade 10, Base/Step 1 \$53,025**
    - **Foreclosure Specialist, Base \$44,069**
8. Is a new employee being hired: **Unknown – Positions would be posted for new hires and/or potential transfers.**
- a. Effective date of employment:
  - b. Salary and grade
  - c. Appointed position:
  - d. Term:
9. Is a grant being accepted: **NO**
- a. Source of grant funding:
  - b. Amount of grant:
  - c. Purpose grant will be used for:
  - d. Equipment and/or services being purchased with the grant:
  - e. Time period grant covers:
10. Remarks/Reasoning (Supporting documentation must be attached to this form)

### **UNDER COUNTY TREASURER**

- **Reclassify (1) Foreclosure Supervisor to (1) Foreclosure Specialist**

**Foreclosure Supervisor, Base salary, \$59,870 \* 60% Fringe = \$95,792 (Jan-Dec)**



# **SARATOGA COUNTY**

## **AGENDA ITEM REQUEST FORM**

**Foreclosure Specialist, Base Salary, \$44,069 \* 60% Fringe = \$52,882 (Apr-Dec)**

**Savings of -\$42,910**

- **Create (1) Paralegal Specialist, Grade 10, Base/Step1, \$53,025 \* 60% Fringe = \$63,630 (Apr-Dec)**

### **UNDER COUNTY ATTORNEY**

- **Abolish (1) Legal Assistant – Real Estate, Incumbent Current Salary \$50,910 \* 60% Fringe = \$61,092 (Apr-Dec)**

### **SUMMARY OF COSTS**

**Reclassification of Foreclosure Supervisor to Foreclosure Specialist -\$42,910**

**Creation of (1) Paralegal Specialist \$63,630**

**Abolishment of (1) Legal Assistant -\$61,092**

**Total Savings = -\$40,372**



## OFFICE OF THE SARATOGA COUNTY TREASURER

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**Andrew B. Jarosh**  
Treasurer

County Municipal Center, Bldg 1  
40 McMaster St., Ballston Spa, NY 12020

**D'Arcy L. Plummer**  
Deputy Treasurer

Ph: (518) 884-4724 Fx: (518) 884-4775  
[www.SaratogaCountyNY.gov](http://www.SaratogaCountyNY.gov)

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**TO: Sup. Darren O'Connor, Chairman of Human Resources Committee  
Marcy McNamara, Director of Human Resources**

**RE: Mid-Year Request for New Treasury Positions**

**March 17, 2021**

In November 2020, the Board approved a reclassification request of one of the Treasurer's Account Clerk Typist Part-Time positions to Foreclosure Supervisor, a new title and position to be created at salary Grade 11. This request was made jointly by the County Treasurer, the then-County Attorney, and the Director of Human Resources in preparation for the forthcoming retirement of the County Attorney, the transfer (by default) of the duties of Tax Enforcement Officer from the County Attorney to the County Treasurer, and the potential retirement of the long-tenured Legal Assistant in the County Attorney's office who is solely responsible for performing all of the County's title searches related to the County's In-Rem Foreclosure Process and managing the court procedures including preparing court motions for approval of the Tax Enforcement Officer. The Treasurer assured the Board that the position of Foreclosure Supervisor would not be activated and filled unless and until the Legal Assistant retired. The Foreclosure Supervisor position was thus created as a quick stop-gap placeholder to allow the Treasurer an option to replace and revise the personnel and process should the retirement of the Legal Assistant occur at an inopportune time in 2021.

On March 2, 2021, Janet Sabin, the Legal Assistant, informed the Acting County Attorney that she will be retiring on April 2, 2021 after 17 years performing critical functions for the County. Her retirement is well-deserved. It does, however, leave a hole in the County's process and plans. In meeting with Janet several times since January, both the Treasurer and the incoming County Attorney have concluded that the job functions that have been performed by the Legal Assistant are numerous, specialized, unique, and difficult to replicate. Those job functions generally fall into two categories: title search and paralegal functions.

Currently in the Treasurer's office, other functions are performed that fall into similar categories. For example, Certified Tax Searches are a routine function provided at-cost to the public. These tax searches are usually performed by clerks who may have time to do so. Performing a certified tax search entails the clerk spending time querying the delinquent property tax database year by year, searching digital tax records, and, if researching prior to 1999, leaving the front office for the public records room and/or long-term records storage room for several hours to comb through paper documents and old tax books. The Treasurer currently charges \$25 for each five-year period searched. Additionally, several Treasurer's Office functions often require researching state and county laws, contacting the County Attorney's offices or outside counsel for legal opinions/interpretations, or contacting the County, Town, or Village Courts on procedural matters. These functions include bail deposits, trust holdings, court-ordered holdings, bankruptcies, PILOT agreements, real property law issues, state education law pertaining to certificates of residence for community college tuition, occupancy tax law, to name a few, in addition to interpreting the slew of Executive Orders issued by the Governor over the past year. Often these legal questions require the Treasurer and/or staff to perform legal research, assemble excerpts of various laws, draft letters regarding these questions, and obtain opinions/interpretations from the various attorneys and courts.

I am requesting here to **rescind the reclassification of an Account Clerk Typist Part Time to Foreclosure Supervisors, and instead create two new positions** in the Treasurer's office to fulfill the functions being transferred



to it by the retirement of the Legal Assistant, and to merge those duties with the other similar functions already performed.

#### Paralegal Specialist

The Treasurer's Paralegal Specialist is to be responsible for 1) managing the court procedures, filings, and motions associated with the County's Article 11 In-Rem Delinquent Tax Foreclosure Process; 2) researching all of the Treasurer's staffs' procedural questions and considerations related to foreclosures and bankruptcies as dictated by real property tax law, court and trust holdings as dictated by municipal finance law, certificates of residence for community college tuition as dictated by education law, PILOT issues as dictated by real property tax law, and various other legal concerns as they arise, so as to form proper and complete legal questions that can then be submitted to the various attorneys or courts to obtain their opinions, advice, interpretations, and answers to the Treasurer's legal questions and concerns.

This title exists in several other departments. Each department caters the position to its own specific legal needs.

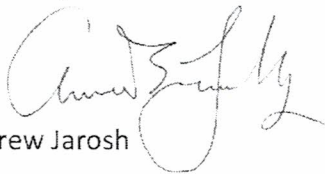
The Treasurer's Paralegal Specialist will report to the Treasurer and is a salary Grade 10 per the County's compensation plan. (Base = \$53,025, Benefits = \$31,815, Total = \$84,840)

#### Foreclosure Specialist

The Foreclosure Specialist is a new title and position to be created that is to be responsible for performing all title searches required by the Tax Enforcement Officer as part of the County's In-Rem Foreclosure Process, performing all certified tax searches requested by the public, assembling and issuing required mailing and notices as part of the In-Rem process, fielding public inquiries related to the In-Rem process, coordinating various county departments and staff as they relate to the In-Rem process, tracking bankruptcies of owners of parcels that are in the In-Rem process, and generally managing the In-Rem process.

The Foreclosure Specialist will report to the Tax Collection Supervisor and is to be a salary grade commiserate with a Principal Account Clerk per the County's compensation plan. (Base = \$44,069, Benefits = \$26,441, Total = \$70,510)

Thank you.



Drew Jarosh

Treasurer

CC: Steve Bulger, County Administrator  
Michael Hartnett, County Attorney

**2021 Budget Projections for Treasury Mid-year Personnel Request**

Title	Salary	Benefits	2021 Budget	2021 Expenditure (through March)	Projected Expenditure (April-Dec)	Budget-to- Projected
<b>Foreclosure Supervisor</b>	\$ 59,870	\$ 35,922	\$ 95,792	\$ -	\$ -	\$ 95,792
<b>Legal Assistant</b>	\$ 50,910	\$ 30,546	\$ 81,456	\$ 20,364	\$ -	\$ 61,092
<b>Paralegal Specialist</b>	\$ 53,025	\$ 31,815	\$ -	\$ -	\$ 63,630	\$ (63,630)
<b>Foreclosure Specialist</b>	\$ 44,069	\$ 26,441	\$ -	\$ -	\$ 52,883	\$ (52,883)
			<b>\$ 177,248</b>	<b>\$ 20,364</b>	<b>\$ 116,513</b>	<b>\$ 40,371</b>

2021 budgetary savings



# SARATOGA COUNTY

## AGENDA ITEM REQUEST FORM

**TO:** Steven Bulger, County Administrator  
Hugh Burke, Interim County Attorney  
Pam Wright, Clerk of the Board

**CC:** Jason Kemper, Planning Director  
Therese Connolly, Deputy Clerk of the Board  
Matt Rose, Management Analyst

**FROM:** Margaret McNamara, Director of Human Resources

**DATE:** March 25, 2021

**RE:** Creation of a Petty Cash Policy

**COMMITTEE:**

1. Is a Resolution Required:  **YES** or  **NO**  
(If YES, please complete #2- #10) (If NO, skip to #10 and provide reason for bringing the item)
2. Is a Budget Amendment needed: **No**  
(If yes, budget lines and impact must be provided)
3. Are there Amendments to the Compensation Schedule:  
**No** (If yes, provide details)
4. Specific details on what the resolution will authorize:  
**Authorizing the creation of a Petty Cash Policy in the Saratoga County Policies and Procedures Manual.**
5. Does this item require hiring a Vendors/Contractors: **No**
  - a. Were bids/proposals solicited:
  - b. Is the vendor/contractor a sole source:
  - c. Commencement date of contract term:
  - d. Termination of contract date:
  - e. Contract renewal and term:
  - f. Contact information:
  - g. Is the vendor/contractor an LLS, PLLC or partnership:
  - h. State of vendor/contractor organization:
  - i. Is this a renewal agreement:  **YES** or  **NO**
  - j. Vendor/Contractor comment/remarks:



# SARATOGA COUNTY

## AGENDA ITEM REQUEST FORM

6. Is this an annual housekeeping resolution:  
**No** (If yes, attach the last approved resolution)
- What were the terms of the prior resolution
  - Are the terms changing:
  - What is the reason for the change in terms:
7. Is a new position being created: **No**
- Effective date
  - Salary and grade
8. Is a new employee being hired: **No**
- Effective date of employment
  - Salary and grade
  - Appointed position:
  - Term:
9. Is a grant being accepted: **No**
- Source of grant funding:
  - Amount of grant:
  - Purpose grant will be used for:
  - Equipment and/or services being purchased with the grant:
  - Time period grant covers:
10. Remarks/Reasoning (Supporting documentation must be attached to this form):

**Policy being created to accommodate for departments that utilize petty cash. Policy will incorporate an approval request process, audit process as well as the implementation of a petty cash bank account and debit card process.**

# Saratoga County Petty Cash Policy

March 2021

This Petty Cash policy is in accordance with New York State County Law Section 371, which is an integral premise of this policy. This policy applies to all Saratoga County departments and employees. The purpose of this policy is to detail the required controls and processes by which county departments may hold, use, and replenish Petty Cash.

## Definition

- Petty Cash is an immaterial total amount of county funds a) held in a segregated bank account accessible via a debit card, and/or b) as cash-on-hand in a secure place under a department head's control.
- Petty Cash may only be used by a department head to procure minor departmental items and/or services for which budget has been approved and is available, but for which the standard voucher and invoice process is insufficient or onerous compared to the small, timely expense incurred; the determination of such may be made by the department head.

## Limit

- A department may be approved for the use of Petty Cash up to a maximum amount of \$1,000.00 (one thousand dollars.)

## Request & Approval Process

- Any department head desiring to hold Petty Cash must submit a Petty Cash Approval Request in writing to the County Administrator with a copy to the County Treasurer.
- The Petty Cash Approval Request must detail the need and purpose of the use of Petty Cash within the department and detail the proposed methods by which proper controls and security will be managed.
- The County Administrator is authorized to approve Petty Cash requests up to \$500.00 (five hundred dollars.) Requests for amounts greater than this, but less than the limit defined above, must be approved by the County Administrator and the Law & Finance Committee.
- The County Administrator and/or Law & Finance Committee will determine if the department is in need of the use of Petty Cash and determine the appropriate amount of Petty Cash to be held by the department based on the Petty Cash Approval Request submitted by the department head. The approved amount of Petty Cash shall be that department's Petty Cash Limit.
- The County Treasurer will review the department head's proposed cash control procedures and provide his opinion of adequacy to the County Administrator.
- A department's Petty Cash limit will be determined on a case-by-case basis and may be amended from time to time by the County Administrator and/or the Law & Finance Committee. Once approved, written notice of the approval will be issued to the Department Head with copy to the County Treasurer, the IT Department, the County Auditor, and the Director of Finance.

## Establishment of a Department's Petty Cash

- Upon notice of approval of a department's Petty Cash request, the County Treasurer will establish a sole-purpose bank account (per the County's Investment Policy) to hold the department's Petty Cash. The account will be in the name of Saratoga County and further identified as the department's Petty Cash bank account.
- The County Treasurer will have deposited into this Petty Cash Bank Account an amount equal to the department's Petty Cash Limit.

- The County Treasurer will establish online access to the account through the bank's online systems. The County Treasurer and his/her designated staff will be the sole administrators and signers of the bank account and of online access. The County Treasurer and his/her designated staff will have online access to the account for transactional purposes, and will establish view-only online access for the Department Head and his/her designated staff.
- The County Treasurer will have issued a single debit card connected to this account in the name of the department head.
- The department head, upon receiving the debit card, will sign it and set the debit card's Personal Identification Number (PIN.)
- The department head will establish the previously-detailed secure petty cash location within his/her department to hold any Petty Cash as cash-on-hand.
- The IT Department will establish an electronic location specific and unique to the department to store electronic files relating to the department's Petty Cash. Each department's Petty Cash Shared Folder will be accessible by the department head and his/her designated staff, the County Treasurer and his/her designated staff, the County Administrator and his/her designated staff, the County Auditor and his/her designated staff, and the Director of Finance and his/her designated staff.

### Petty Cash Usage

- The department head may use the debit card to withdraw cash from an Automated Teller Machine (ATM.) The department head should make every effort to only utilize ATMs that are free to use, such as those operated by the debit card's issuing bank. In unusual and necessary circumstances, the department head may use the debit card at an ATM that does incur fees, and the department head will have to submit receipts of those fees to be applied against the department's 'bank fees' budget (account 8140.)
- Any cash withdrawn from an ATM must be held as cash-on-hand in the department's secure Petty Cash location.
- The department head may use the debit card to conduct point-of-sale transactions, or use petty cash-on-hand, to pay expenses that adhere to the definition of Petty Cash above.
- Every expenditure, whether by debit card or cash-on-hand, must result in an official transaction receipt, either electronic or paper. For transactions with a vendor who may not regularly issue transaction receipts, the department head must, prior to the transaction, draft a simple paper transaction receipt and have it signed by the vendor immediately upon completion of the transaction. All Petty Cash Transaction Receipts should detail the date of time of the transaction, the amount, and the method of payment. Ideally, all Transaction Receipts should detail the item purchased. If a Transaction Receipt does not already include details of the item purchased, the department head shall add a note to the receipt, either via handwriting on paper receipts or through an additional, accompanying electronic file for electronic receipts, detailing the item purchased. All paper receipts, complete with any department head's handwritten notes, are to be scanned into an electronic file. All electronic files of transaction receipts, whether scanned paper receipts or electronic receipts, are to be stored in the department's Petty Cash Shared Folder.

### Replenishment

- At all times, the balance in a department's Petty Cash Bank Account plus the balance of its cash-on-hand plus the balance of receipts not yet replenished must total the department's Petty Cash Limit.
- As necessary, the department head will submit through the County's financial accounting system an invoice to replenish its Petty Cash.
  - This invoice shall be for an amount equal to the amount of expenditures conducted from its Petty Cash since the last replenishment.
  - This Petty Cash Replenishment Invoice shall be accompanied by electronic copies of all receipts for transactions conducted since the last replenishment and those receipts shall total the amount of the invoice.

- This Petty Cash Replenishment Invoice shall be accompanied by a confirmation, signed by the department head, of the current balance of the department's cash-on-hand as an electronic note attached to the Invoice in the Financial Accounting System.
  - The Invoice will expense each item purchased with Petty Cash against its appropriate and approved budget lines.
- Per the County's standard Invoice process, the County Auditor will review the Invoice and attachments.
- If approved by the County Auditor, department heads (or their designee) will receive their Petty Cash replenishments from Treasury via an electronic deposit into the department's Petty Cash Bank Account.
- If not approved by the County Auditor, the County Auditor will immediately notify the Treasurer in writing of the disallowance. The department head, being personally responsible for the department's Petty Cash, will personally reimburse the Petty Cash account for those unapproved expenditures. Any of such bills or any portion of any of such bills as shall be disallowed upon audit shall be the personal liability of the official responsible for the use of the petty cash fund from which payment on account thereof was made, and such official shall forthwith reimburse such petty cash fund in the amount of such disallowances and/or face disciplinary action. If reimbursement has not been made by the time of the first payment of salary to the department head after the disallowance, the amount shall be withheld by the Treasurer from such salary payment and, if necessary, subsequent salary payments, and paid into the Petty Cash Account.

### Control Policies

- The department head shall be personally responsible for the safe keeping, control, use, accounting, and overall management of the department's Petty Cash, Petty Cash Account, and associated debit card.

### Debit Card and PIN

- The department head issued a Petty Cash debit card will be solely personally responsible for establishing the card's secure Personal Identification Number (PIN) and for maintaining the security and confidentiality of the PIN.
  - The department head should not select a PIN that is easy to guess, or that contains more than three repeating digits (e.g. 111x, x222, etc.)
  - Ideally, the department head should commit the PIN to memory and not print the PIN on paper. Should the department head print the PIN on paper for future reference, nothing on that paper should indicate that this number is the PIN of the debit card. This paper must not be scanned or photographed or stored electronically on any device or on any computer or computer system. This paper must not be stored in the department's petty cash secure location. This paper must not be stored with the debit card itself.
  - The department head must not print the PIN on the debit card.
  - The department head must maintain the security and confidentiality of the PIN. If the department head suspects the PIN may be compromised, or that any other individual has learned the PIN, the department head must immediately a) notify the County Treasurer, and b) change the debit card's PIN.
- The department head issued a Petty Cash debit card will be solely personally responsible for maintaining the security of the debit card.
  - The debit card may be stored in the department's Petty Cash secure location or on the department head's person.
  - The department head shall immediately upon learning that the debit card may be lost or stolen or its security has otherwise been compromised notify the County Treasurer of the same.
  - The department head must, at all times, be able to immediately (or within a reasonable amount of time) produce the debit card upon request by the County Treasurer or the County Administrator.
  - The department head must relinquish the debit card to the County Treasurer immediately upon written request of the same from the County Treasurer and/or the County Administrator.

### Cash-on-Hand and Secure Location

- Any and all cash withdrawn from the Petty Cash Account not yet spent on appropriate expenditures must be stored by the department head in a secure place with limited, controlled access; such place to be approved by the County Treasurer. A locking “Petty Cash box” should be procured by the department head, through the Purchasing Department, and kept in the department’s offices in a secure location with limited, controlled access. One key to the Petty Cash Box is to be kept by the Department Head in a separate, secure location, and a second key is to be provided to the County Treasurer. Whenever there is a change of personnel in the department head position, the department head’s Petty Cash Box key is to be transferred to the new person in the position as verified by the County Treasurer, or else a new cash box with new keys is to be procured.
  - The petty cash box key may be not be stored in the department’s Petty Cash secure location.
  - The petty cash box key may be stored on the department head’s person.
  - The department head shall immediately upon learning that the petty cash box key may be lost or stolen or its security has otherwise been compromised notify the County Treasurer of the same.
  - The department head must, at all times, be able to immediately (or within a reasonable amount of time) produce the petty cash box key request by the County Treasurer or the County Administrator.
  - The department head must relinquish the petty cash box key to the County Treasurer immediately upon written request of the same from the County Treasurer and/or the County Administrator; or upon the termination, retirement, or resignation from employment with the County.
- The County Treasurer, County Auditor and/or the Director of Finance may ‘spot’ audit a department’s Petty Cash at any time with or without cause and with or without notice to the department head. At least one such ‘spot’ audit is to occur annually, and an unlimited number of ‘spot’ audits may occur within any given year. Results of such audits shall be disseminated by the auditing official to the County Treasurer and the County Administrator.
- A summary of spot audit results and findings will be reported to the Law & Finance committee at least annually by the County Treasurer.
- Any county employee noticing any suspicious petty cash activity, usage, misappropriation, or other potential unethical or otherwise improper use or keeping of petty cash, in any department, must report said activity to the Department Head, the County Administrator, and/or the County Treasurer immediately. The County’s then-current Whistleblower Policy, if any, shall apply here.