

HUMAN RESOURCES & INSURANCE COMMITTEE

June 29, 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 May 25, 2021 meeting
- III. Employee Recognition
- IV. Workers Compensation Report
- V. Resolution Authorizing Amendment(s) to the 2021 Compensation Schedule
 - a) Aging Services
 - b) Public Health
 - c) Treasurer
 - d) County Attorney
- VI. Discussion: Contract Expansion with Tyler Technology
- VII. Other Business
- VIII. Adjournment

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

June 29, 2021





May 2021 Data



Participant	Total Paid	Claims Received	24/7 Utilization	
			Yes	No
City of Mechanicville-Public Works	\$1,136.56	0	0	0
City of Saratoga Springs-All Other	\$368.88	0	0	0
City of Saratoga Springs-Fire Department	\$18,357.99	1	1	0
City of Saratoga Springs-Police Department	\$4,690.51	2	2	0
City of Saratoga Springs-Public Works	\$8,860.55	0	0	0
Clifton Park Halfmoon Emergency Corp-Paid	\$644.77	1	0	1
Clifton Park Water Authority	\$199.24	0	0	0
Galway Emergency Medical Services-Paid	\$0.00	1	1	0
Malta-Stillwater Ambulance Corps-Volunteer	\$3,118.12	0	0	0
Moreau Emergency Squad-Paid	\$46.38	0	0	0
Saratoga Co -Public Health Nursing Service	\$896.36	0	0	0
Saratoga Co -Public Works Building & Grnds	\$4,157.97	0	0	0
Saratoga County-Animal Shelter	\$13.50	1	1	0
Saratoga County-County Attorney	\$37.81	0	0	0
Saratoga County-District Attorney	\$65.28	0	0	0
Saratoga County-Maplewood Manor	\$6,626.80	0	0	0
Saratoga County-Public Works Highway	\$10,638.00	1	0	1
Saratoga County-Sewer District	\$4,305.50	0	0	0
Saratoga County-Sheriff	\$98,811.60	2	2	0
Saratoga County-Social Services	\$3,557.28	2	2	0
Saratoga County-SYEP	\$373.40	0	0	0
Schuylerville-Victory Board-Water Mgmt	\$912.80	0	0	0
Town of Charlton-All Other	\$551.92	0	0	0
Town of Clifton Park-All Other	\$2,107.55	1	1	0
Town of Clifton Park-Public Works	\$3,560.16	0	0	0
Town of Edinburg-All Other	\$2,193.68	0	0	0
Town of Hadley-All Other	\$582.52	0	0	0
Town of Hadley-Public Works	\$5,529.84	0	0	0
Town of Halfmoon-All Other	\$1,226.00	0	0	0
Town of Halfmoon-Public Works	\$206.46	0	0	0
Town of Moreau-All Other	\$1,393.83	0	0	0
Town of Moreau-Public Works	\$1,169.81	0	0	0
Town of Northumberland-All Other	\$90.46	0	0	0
Town of Saratoga-Public Works	\$600.00	0	0	0
Town of Stillwater-All Other	\$58.50	0	0	0
Town of Waterford-All Other	\$0.00	1	0	1
Town of Waterford-Public Works	\$15.00	1	1	0
Town of Wilton-Public Works	\$345.70	0	0	0

Village of Ballston Spa-All Other	\$0.00	1	1	0
Village of Ballston Spa-Public Works	\$4,816.81	0	0	0
Village of Round Lake-Public Works	\$1,522.99	0	0	0
Village of Schuylerville-Public Works	\$2,293.54	0	0	0
Village of South Glen Falls-Police Dept.	\$31.13	0	0	0
Village of Victory-Public Works	\$0.00	1	1	0
Village of Waterford-All Other	\$0.00	0	0	0
Vol Fire Dept-Ballston Lake Fire Dept.	\$569.15	0	0	0
Vol Fire Dept-Clifton Park-Vischer Ferry Fre	\$8.50	0	0	0
Vol Fire Dept-Corinth Vol Fire Association	\$670.95	1	1	0
Vol Fire Dept-Edinburg Volunteer Fire Co	\$76.56	0	0	0
Vol Fire Dept-Greenfield Fire District	\$3,548.00	0	0	0
Vol Fire Dept-Halfmoon-Waterford Fire Dist	\$0.00	1	0	1
Vol Fire Dept-Northumberland-Gansevoort Fire	\$83.54	0	0	0
Vol Fire Dept-Vil of Schuylerville-Schuyler	\$4,620.00	0	0	0
Vol Fire Dept-Vil of Stillwater-Newland Wd	\$1,600.00	0	0	0
Wilton Emergency Squad-Paid	\$1,021.66	0	0	0
Wilton Emergency Squad-Volunteer	\$0.00	1	1	0
Grand Total	\$208,313.56	19	15	4



SARATOGA COUNTY

AGENDA ITEM REQUEST FORM

TO: Steve Bulger, County Administrator
Ridge Harris, Deputy County Administrator
Michael Hartnett, County Attorney
Therese Connolly, Clerk of the Board

CC: Jason Kemper, Planning Director
Bridget Rider, Deputy Clerk of the Board
Matt Rose, Management Analyst
Clare Giammusso, County Attorney's Office

FROM: Sandi Cross, Director of the Office for the Aging

DATE: June 15, 2021

RE: Amending the 2021 Compensation Schedule to provide for title change/reclassification of job titles.

COMMITTEE: Human Resources and Insurance 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: YES or NO
(If yes, budget lines and impact must be provided)
3. Are there Amendments to the Compensation Schedule: YES or NO
(If yes, provide details)
Yes - Title change with an increase in salary for (6) Aging Services Specialist's and reclassification of (1) Principal Account Clerk - see attached.
4. Specific details on what the resolution will authorize:
Authorizing an amendment to the 2021 Compensation Schedule to change six (6) Aging Services Specialist's to Aging Services Specialist's/Caseworker and one (1) Principal Account Clerk to Fiscal Manager. **See remarks
5. Does this item require hiring a Vendors/Contractors: YES or 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: YES or 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: YES or NO
- Effective date
 - Salary and grade
8. Is a new employee being hired: YES or NO
- Effective date of employment
 - Salary and grade
 - Appointed position:
 - Term:
9. Is a grant being accepted: YES or 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):
- Total salary increase is $\$36,014 \times .60$ Fringe = $\$57,622$ -see attached.
- Total cost of the title change/reclassification would be 100% covered by NY Connects.

Reclassifications/ Promotions	Current Salary	Current Step	Proposed Salary	Increase
Aging Services Specialist/ Caseworkers				
Karen Daigle	\$48,660	2nd	\$52,158	\$3,498
Caleb Foard	\$47,308	Base	\$50,806	\$3,498
Tara Hnis	\$48,660	2nd	\$52,158	\$3,498
Ben Nichols	\$55,025	20th	\$58,520	\$3,495
Denise Yannaci	\$52,856	12th	\$56,324	\$3,468
Vacant	\$47,308	base	\$50,806	\$3,498
Principal Account Clerk - Fiscal Manager				
Christine Sokol	\$49,624	10th	\$64,683	\$15,059
Total Salary Increase				\$36,014
Total Fringe Increase				\$21,608
				\$57,622

100% Funded - NY Connects				
\$0 cost to County				



SARATOGA COUNTY

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CC: Jason Kemper, Planning Director
Bridget Rider, Deputy Clerk of the Board
Matt Rose, Management Analyst
Clare Giammusso, County Attorney's Office

FROM: Daniel Kuhles

DATE: 6/22/2021

RE: Reclassification: Director of Patient Services Title

COMMITTEE: Human Resources

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: YES or NO
(If yes, budget lines and impact must be provided)

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

Reclassified title. Director of Patient Services would be replaced with Director of Community Health Services. No change to salary or grade.

4. Specific details on what the resolution will authorize:

Reclassify the title Director of Patient Services to Director of Community Health Services. No change in salary or grade.

5. Does this item require hiring a Vendors/Contractors: YES or 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: YES or 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: YES or NO
- Effective date
 - Salary and grade
8. Is a new employee being hired: YES or NO
- Effective date of employment
 - Salary and grade
 - Appointed position:
 - Term:
9. Is a grant being accepted: YES or 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):

The existing title, Director of Patient Services, is reflective of a time when the department was a nursing service and provided home care to patients.

As part of its transition to a full service health department, the county has appointed a Commissioner, who by public health law must be a physician. Among the Commissioner's responsibilities is oversight of any clinical care delivered---a responsibility formerly held by the Director of Patient Services. Fruther, in contrast to the time when it was primarily a nursing service, the department focuses on the broader health of communities and partners with healthcare providers, healthcare facilities, and community and faith based organizations to meet or exceed population based health goals.



SARATOGA COUNTY

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CC: Jason Kemper, Planning Director
Bridget Rider, Deputy Clerk of the Board
Matt Rose, Management Analyst
Clare Giammusso, County Attorney's Office

FROM: Drew Jarosh

DATE: 6/24/2021

RE: Reorganization of Finance and Payroll

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: YES or NO
(If yes, budget lines and impact must be provided)
3. Are there Amendments to the Compensation Schedule: YES or NO
(If yes, provide details)
Transferring Dir. of Finance, Payroll Sup., and Payroll Clerk to Treasury
4. Specific details on what the resolution will authorize:
Moving the positions of Director of Finance, Payroll Supervisor, and Payroll back back to the Treasurer's Office.
5. Does this item require hiring a Vendors/Contractors: YES or 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: YES or NO
(If yes, attach the last approved resolution)
- What were the terms of the prior resolution
 - Are the terms changing:
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7. Is a new position being created: YES or NO
- Effective date
 - Salary and grade
8. Is a new employee being hired: YES or NO
- Effective date of employment
 - Salary and grade
 - Appointed position:
 - Term:
9. Is a grant being accepted: YES or 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):
See supporting documentation



LOCAL GOVERNMENT MANAGEMENT GUIDE

**Fiscal Oversight Responsibilities
of the Governing Board**



Fiscal Oversight Responsibilities of the Governing Board

Local governments exist to provide necessary services to their constituents. Success in accomplishing that mission typically depends heavily upon the leadership of the governing board and other local government officials. As the legislative body, the board generally establishes and oversees much of the policy, financial, and ethical framework within which a local government operates.

Through its actions and policies, the governing board often charts the course for many of the government's activities. The governing board is usually responsible for seeing that the course is kept by monitoring the results of operations and the effectiveness of board-adopted policies. Statutory provisions may provide the framework for the governing body's guidance and oversight, as well as sound management practices. Working in conjunction with the locality's chief executive officer (CEO), chief fiscal officer (CFO), and other local officials and department heads, the governing board can help ensure that their fiscal oversight responsibilities are met.

The governing board's oversight role can touch virtually every aspect of a local government's operations. This guide covers the following key fiscal oversight responsibilities of a governing board:

- *Developing Policies* – includes policies required by law, as well as other policies that help guide specific areas of fiscal operations
- *Monitoring Fiscal Operations* – includes descriptions of reports needed for fiscal monitoring
- *Conducting Audits* – includes guidelines for claims auditing responsibilities and annual auditing requirements.

The appendices to this guide include information on where to find additional information on developing certain types of policies (Appendix A); annual audit requirements by type of local government (Appendix B); as well as general recordkeeping requirements and checklists for reviewing the financial records of chief fiscal officers, town clerks, tax collecting officers, town and village justice courts, and other departments (Appendices C–G), respectively.

In this guide, “local governments” usually refers to school districts and boards of cooperative educational services (BOCES) as well as towns, villages, cities, and counties.

The governing board's oversight role can touch virtually every aspect of a local government's operations.

Monitoring Fiscal Operations

Once the financial course has been set through the adoption of key policies and plans, board members have the equally important task of keeping local government operations on course. This oversight responsibility requires continued diligence. Governing board members should compare actual results to plans, policies, and directives. The board's concerns and decisions should be communicated to appropriate senior management and department heads so that they can make adjustments and corrections as needed.

The following sections outline periodic reports, including an illustrative example of a budgetary status report and other special purpose reports, all of which can be used as key measures in focusing monitoring activities and conveying information to the appropriate officials and to the public.

Interim Reports

Interim (periodic) reports can be designed to fulfill a number of management information needs. Each adopted policy can and should address the timing and content of periodic reports so board members can exercise proper fiscal oversight. The governing board should consult with senior management and department heads, when necessary, to determine what information they need and when they need it so that they can effectively meet their responsibilities. **It is essential that the governing board receives regular financial reports from the CFO, treasurer, or business manager** to fulfill its responsibility of monitoring financial operations. Generally, corrective action is easier to initiate when the need is identified early. Interim reports should provide the board with timely information on such issues as: financial position, results of operations, budget status, policy compliance, service or project costs, performance measures, and legal compliance matters.

For illustrative purposes, a discussion of the commonly used and widely accepted budgetary status report follows. Brief descriptions of other possible special purpose reports are included at the end of this section.

Governing board members should compare actual results to plans, policies, and directives.

The governing board generally has the authority and responsibility to adopt realistic, structurally balanced budgets and to monitor the budget continually.

Budgetary Status Reports

The governing board's role in overseeing the financial condition of its local government is of particular importance. Local governments must avoid significant cost over-runs or estimation errors. Municipal officials must be vigilant in monitoring year-to-date revenues and expenditures against corresponding budgetary estimates.

The governing board generally has the authority and responsibility to adopt realistic, structurally balanced budgets and to monitor the budget continually. After the budget has been enacted, it is the combined responsibility of department heads and other municipal officials to see to it that sufficient resources are available and that needed services are provided within budget parameters. To help meet these objectives, the CFO, designated budget officer, and department heads should regularly monitor actual revenues and expenditures and report these figures to the governing board. These year-to-date figures should be compared to budgeted amounts so that timely corrective action can be taken as needed.

Budget status reports provide the governing board and other decision makers with information about year-to-date revenues and expenditures compared to budget estimates. At a minimum, these reports should identify unfavorable variances that require timely budget amendments to maintain control overspending and ensure compliance with applicable laws. In meeting its oversight responsibilities, the governing board should:

- Review budgetary status reports
- Ask questions about revenues and expenditures not meeting budgetary expectations
- Ensure that corrective action or budget amendments are implemented before financial condition is negatively affected, consistent with the scope of its authority.

When a governing board is not required by law to engage the services of an external auditor to perform an audit, the law may direct or permit the governing board itself to conduct the annual audit.

Guidelines for a Board-Directed Annual Audit

When a governing board is not required by law to engage the services of an external auditor to perform an audit, the law may direct or permit the governing board itself to conduct the annual audit. A board-directed annual audit is generally appropriate for small and medium-sized local governments.

The annual audit and review of records is a process whereby the governing board, as authorized by law, is exercising its responsibility for the general management and control of the locality's finances. In order for this process to occur in a smooth and timely manner, there must be cooperation among officers, others assisting in the recordkeeping, if applicable, and the governing board.

As a first step, the governing board should ensure that it has an understanding of how each office or department operates, what the rules and requirements are for financial accountability and reporting, and what types of financial records should be maintained to meet these requirements. Once board members have gained an understanding of the applicable operations and familiarized themselves with the types of records that should be maintained, they should determine that the following minimum concerns are met:

1. Financial records are complete and up-to-date
2. Transactions are recorded properly
3. Accountability is computed monthly
4. Required reports are made timely and accurately.

To assist local officials in evaluating these concerns, we have included information about the **general recordkeeping requirements for CFOs**, town clerks, tax collectors, justice courts, and specialized departments or operations in the appendices to this guide. This information addresses the type of accounting records that generally should be submitted to the governing board for audit purposes. Some variation in the format of accounting records is expected. Reading these descriptions beforehand will provide board members with essential background information.

Appendix C – General Recordkeeping Requirements for Chief Fiscal Officers

Adequate accounting records and effective procedures need to be in place to properly account for and report financial activities of the local government or school district. Although most local governments and school districts maintain their accounting records electronically, the requirements are the same. Governing boards should familiarize themselves with the chief fiscal officer's recordkeeping system, whether maintained manually or electronically, before attempting to review the records. Some basic and essential record keeping and reporting requirements include the following:

1. Maintain official bank accounts in designated depositories.
2. Deposit moneys received into an official bank account and properly secure those moneys.
3. Moneys received should be deposited timely. Moneys received may be required by statute or local legislation to be deposited within a given number of days after receipt.
4. Disburse moneys, by check or electronic funds transfer, throughout the year. Most payments are made for salaries and wages of municipal officers and employees (based on certified payrolls) and for contractual expenses.
5. Maintain accurate and complete accounting records to record moneys received and disbursed. Accounting records are required to be kept on a fund basis.
6. Maintain separate appropriation accounts for every appropriation.
7. Prepare and provide interim reports to the governing board.
8. Prepare in a timely manner the annual financial report, which shows the summary of the prior year fiscal activity and the results of operations for that year. The report is filed with OSC and generally with the municipal clerk.
9. Reconcile cash, receivables, and other control accounts. Reconciliations of cash in the bank to recorded cash balances, and of detailed receivables or other subsidiary accounts to related control accounts, should be made periodically (monthly is recommended) and on a timely basis.

Appendix G – General Recordkeeping Requirements for Departments

To exercise effective oversight, as a general rule, the governing board should first gain an understanding of department operations. Board members will need to know the general rules and requirements for financial accountability and reporting. Board members will also need to determine what types of financial records should be maintained to meet these responsibilities. Many board members, particularly those newly elected, may not be familiar with these requirements.

The department's personnel should maintain appropriate records (either manual or computerized) to account for money received and disbursed. Board members should expect to find the following minimum records:

1. Cash receipt records and supporting documents.
2. Cash disbursement records and supporting documents.
3. Bank statements and supporting documents.
4. Determinations of accountability.
5. Reports to the chief fiscal officer or other applicable officials, individuals, entities, or agencies.



OFFICE OF THE SARATOGA COUNTY TREASURER

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

Sup. O'Connor, Chair - Human Resources & Insurance Committee
Board of Supervisors

RE: Reorganization Request

June 24, 2021

Dear Supervisor O'Connor,

I am submitting to you my proposal and request for the HR Committee to approve and advance a resolution to the Board of Supervisors authorizing a reorganization of county functions and the movement of three county positions from the County Administrator's and Human Resources offices to the County Treasurer's Office. These are the Finance and Payroll functions comprised of the Director of Finance, the Payroll Supervisor, and the Payroll Clerk.

In May of 2017, the Board approved, at the then-County Administrator's request, the transfer of the vacant position of Director of the Finance from the Treasurer's Office to the County Administrator's office. In December 2018, the Board approved the transfer of the positions of Payroll Supervisor and Payroll Clerk from the Treasurer's Office to the Human Resources Department. Given the few years of operations that have passed, both of these actions have created more challenges than they solved. Further, being that the County will soon have new people in both the positions of Director of HR and Director of Finance, now is an ideal moment to reverse these actions and improve efficiency, transparency, accountability, and clarity of duties in the County's fiscal matters.

Regarding the Director of Finance: the Board originally authorized this position in late 1980s to provide consistent accounting experience and continuity in the Treasurer's Office. The position, held by a single individual (George Martin) for more than 20 years, did exactly this through three County Treasurer administrations up until 2017. The Treasurer is the county's Chief Fiscal Officer charged by law with keeping a true account ("accounting") of the county's finances. To facilitate this, the Board authorized the creation of the Director of Finance under the County Treasurer to be filled by an individual with superior accounting experience, training, knowledge, and specialization who would have civil service protections and a significant amount of autonomy.

The Treasurer relies (relied) of the Director of Finance to maintain accounting systems and procedures so as to ensure the accuracy of the annual audit and reporting required by the New York State Office of the State Comptroller (OSC) – a report required, by law, to be submitted by or on behalf of the Chief Fiscal Officer who is assumed to be the primary accounting and finance official of the county with direct supervision and maintenance over the county's accounting and bookkeeping. The OSC's assumption that the CFO is the accounting and finance authority in the county is the premise of all OSC policies, procedures, reporting, requirements, etc. The entire structure and mechanisms of Federal/State/County

fiscal reporting, money management, and cash transfers (aid) are predicated on this assumption. This is why the CFO's signature is required on the Annual Update Document, state aid vouchers, indentures, applications, etc. Further, this structure prescribed by County Law adheres to the principles of separation-of-powers and checks-and-balances that underpin our governments throughout the United States. In short, the same elected body that levies taxes on the population should be checked and reported on by another, separate elected body. Here, the Board levies taxes and authorizes expenditures. The Treasurer safeguards the county's money, reports on the revenue and expenses, and affixes his signature to all outgoing payments. The Board then hires an external auditor to audit the Treasurer's books to ensure accuracy. The State then audits to the County to ensure compliance with statutes and regulations. This local government structure works very well and should be maintained by all elected officials who value democracy, transparency, and accountability.

The Director of Finance position has, since 2017, been filled by a very capable individual, Brian O'Connor, with whom I and my Deputy have had an excellent working relationship. Upwards of 90% of the Director of Finance's interactions are with me and my staff and our working relationship has allowed us to resolve any awkwardness, conflicts, or confusions in amicable agreements between ourselves. Had our working relationship been any different I cannot say with certainty these resolutions would have been the same. Mr. O'Connor is a consummate professional and very understanding of the situation. His service to the county will be missed and well-remembered.

With Mr. O'Connor's departure, now is an ideal moment to restore the Board's originally intended purpose of the Director of Finance position. Having the Director of Finance within the Treasurer's Office will provide clarity to the Board, the State, auditors and regulators, and to the public as to who is accountable for the County's accounting, reporting, and fiscal practices. There will no longer be any confusion or perceived conflict between New York State law and County policy. This restoring of the organization chart will also improve efficiency as the vast majority of the Director of Finance's interactions are with other staff members of the Treasurer's Office. Further, the Director of Finance provides continuity during transitions between elected Treasurers. When that day next comes, having the Director of Finance within the Treasurer's Office will facilitate that transition ensuring the smooth operation of the County's accounting function.

Regarding the Payroll function and staff: historically in both the public and private sectors, the payroll function resides in an organization's finance department. Department heads and supervisors would physically sign an employee's time card certifying the employee's hours worked and due compensation. This signed time card would constitute an authorized claim on the organization's funds. The employee would bring the certified time card to the CFO/Comptroller/Treasurer and present it to get paid. The calculation of hours worked times appropriate rate of pay based on hiring terms, contract requirements, and policy was calculated by the Treasurer in order to make an authorized disbursement of funds to the employee. Over the past several decades, Human Resources became an organizational function in its own right and most organizations created an entirely separate department to handle HR matters. The Payroll function then became a hybrid function that heavily comprised both Finance and HR aspects. The calculation of pay is based primarily on HR policy and requires much interaction between payroll staff and HR department staff. There is valid reason for payroll to be an HR function. However, in the case of county government, a better argument can be made that payroll should be a finance function under the responsibility of the CFO.

Dozens of disbursements are made by the Treasurer every month that are premised on law or resolution of the Board. The Treasurer regularly calculates the amounts of disbursements, including monthly sales tax disbursement to the towns, debt payments, etc. That a calculation is based on some other department's policies or practices does not render the authorized disbursement of county funds a responsibility of that other department. It is still a CFO function. Further, common understanding of New York State County

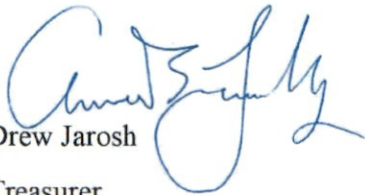
Law and Municipal Finance Law leads to the conclusion that the framers of these Laws intended the disbursement of municipal funds to be the authority and responsibility of the Chief Fiscal Officer. To have payroll as an HR function moves this disbursement of county funds from the CFO and to the Board via the County Administrator and Director of HR – an obvious conflict with the intent of the Laws.

Further, the Payroll Supervisor is an authorized person of the Treasurer's payroll bank account. With the Payroll Supervisor reporting to the Director of HR, this creates an awkward, at best, situation with the bank and could extend liability to the Director of HR. While the Payroll staff does interact daily with HR staff on the calculation of pay for employees, many other payroll functions are the responsibility of the CFO. Safekeeping withholdings due the State or other agencies, maintaining liability accounts for amounts due other governments, reporting to the State authorities, etc., are all finance functions and duties of the CFO. Lastly, financial decisions must often be made which are the purview of the CFO.

While the payroll function is a hybrid function of both finance and HR, it does belong in the Treasurer's Office.

I am including below certain excerpts of New York State law and guidelines from the Office of the State Comptroller that provide additional support of my positions stated herein. I am confident this letter has given you and the HR Committee appropriate and sufficient rationale to look favorably upon my proposal. Should you require any additional information, I am ready and willing to provide it.

Sincerely,



Drew Jarosh
Treasurer

Additional Documentation

The following are excerpts from New York State County Law, New York State General Municipal Law, and the NYS Office of the State Comptroller Fiscal Oversight handbook. These excerpts are provided to demonstrate that New York State deems the Treasurer the Chief Fiscal Officer of the county, and that as CFO the Treasurer is obligated to account for the county's finances (i.e., "accounting.") Further, these show that the NYS Office of the State Comptroller structures reporting policies and operates under the assumption (based on County Law and GML) that the CFO is the primary accounting contact and authority of the county.

New York County Law § 550. County treasurer; duties

1. **The county treasurer shall perform the duties prescribed by law as the chief fiscal officer of the county.** Such county treasurer shall perform such additional and related duties as may be prescribed by law and directed by the board of supervisors.
2. **The county treasurer shall receive and be the custodian of all money belonging to the county or in which the county has an interest and shall keep a true account of all receipts and the expenditures in books provided by him at the expense of the county.** ^ electronic
3. On or before the first day of March in each year the county treasurer shall furnish a statement of and pay over to the state comptroller all penalties or moneys belonging to the state. Any state tax levied as part of the county tax shall be paid to the state comptroller on or before the fifteenth day of May in each year. The county treasurer, the county and the surety or sureties on the official undertaking of such county treasurer shall be liable to the state for all moneys collected and belonging to the state and for any state tax levied as a part of the county tax together with interest not exceeding ten per centum per annum, to reimburse the state for any borrowing occasioned by any failure to pay the same to the state.
4. On or before the tenth day of January in each year, the county treasurer shall transmit to the town clerk of each town within his county a statement of all moneys paid by said county treasurer to the supervisor of the town during the preceding year.
5. The county treasurer shall disburse all moneys received from the fish and wildlife service of the United States department of the interior pursuant to section seven hundred fifteen-s of the migratory bird conservation act [FN1] on a proportional basis to those units of local government, including, but not limited to school districts and the county itself in appropriate cases, which have incurred the loss or reduction of real property tax revenues by reason of the existence of such areas. Where such moneys are to be paid to the supervisors of towns, in a case where any such wildlife refuge lands are located wholly within the boundaries of an incorporated village, such moneys shall be paid to the board of trustees of such village. Such moneys shall be used exclusively for town or village highway purposes, as the case may be. Where such moneys are paid to treasurers or other fiscal officers of a school district, such moneys shall be used exclusively for public school purposes. Upon request, a district superintendent of schools shall furnish to the county treasurer such data as he may require to effectuate the disbursement of moneys under this subdivision.
6. The board of supervisors may, by resolution, determine to enter into a contract to provide for the deposit of the periodic **payroll** of the county in a bank or trust company for disbursal by it in accordance with the provisions of section ninety-six-b of the banking law.

New York County Law § 351. Definitions

For the purposes of this article the following terms are defined as follows:

1. "Administrative unit" shall mean an office, department, division, bureau, board or commission, or any other agency of county government.

2. "Authorized agency" shall mean a corporation, association, institution or agency authorized to receive and expend county moneys.

3. "Budget officer" shall mean the **chief fiscal officer**; provided that the board of supervisors may appoint a person other than the chief fiscal officer as budget officer, who shall serve during the pleasure of the board appointing him. The person so appointed may be another county officer, except that no member of the board of supervisors may be appointed budget officer other than the chairman of the board of supervisors or the chairman of the committee of the board of supervisors designated or created to review the tentative budget. The budget officer may receive, in addition to any other compensation which may be paid to him by the county as chief fiscal officer or otherwise, a salary as budget officer to be fixed by the board of supervisors pursuant to section two hundred one of this chapter. When a person other than the chief fiscal officer has been appointed as budget officer, the chief fiscal officer thereafter shall, in the event of a vacancy in the office of budget officer, including a vacancy by reason of the expiration of the term of the person appointed thereto, serve as budget officer unless and until another person shall be appointed as such officer as provided in this subdivision.

4. "Capital project" shall mean: (a) any physical public betterment or improvement or any preliminary studies and surveys relative thereto, or (b) land or rights in land, or (c) any furnishings, machinery, apparatus or equipment for any physical betterment or improvement when such betterment or improvement is first constructed or acquired, or (d) any combination of items (a), (b) and (c).

5. "Chief fiscal officer" shall mean the **county treasurer**, except:

(a) In the case of those counties having a comptroller, the comptroller; and

(b) In the case of the county of Onondaga, the county auditor.

New York County Law § 370. Statements of financial condition

1. In a county where the chief fiscal officer or his deputy is not designated as budget officer, the **chief fiscal officer shall submit** to the budget officer on or before the tenth day of each month a **statement of the financial condition of the county** as of the last day of the preceding month. Such statement shall show the aggregate revenues received for general county purposes and revenues received for each appropriation account or fund where required by law to be expended for the purpose of such account or fund. Such statement shall also show for each appropriation account the amount appropriated, the amount encumbered but remaining unexpended, the aggregate expenditures and the unencumbered balance. The statement shall include such other information as the budget officer may request or the board of supervisors by resolution may direct. The board of supervisors by resolution may require that copies of such monthly statement be submitted to it and to other designated officers.

2. In a county where the chief fiscal officer or his deputy is designated as budget officer, the board of supervisors by resolution may require that statements of financial condition containing specified information be furnished by the chief fiscal officer at such times and given such distribution as such resolution directs.

New York General Municipal Law § 30. Reports

1. Except as hereinafter provided, every **municipal corporation** and school, fire, improvement and special district shall annually **make a report of its financial condition to the comptroller**. Such report shall be made by the **chief fiscal officer** of each municipal corporation, by the chief fiscal officer of a municipal corporation having a school district governed by article fifty-two of the education law, for such school district, by the treasurer of each other school district, except for a common school district not having a treasurer, by the chairman of the school board or the sole trustee and by the treasurer of each fire, improvement or special district, or in the case of a consolidated health district, the president of the board of health. Such reports shall include the **financial transactions of joint services** defined by section one hundred nineteen-n of this chapter. If, pursuant to any general or special law, there is a separate treasurer for any municipal activity, the financial report of the activity shall be made by such treasurer.

2. An annual financial report for each municipal urban renewal agency shall be made by the treasurer of the agency.

3. An annual report of financial transactions shall be made by the treasurer of each public library and library service system established pursuant to section two hundred fifty-five of the education law, each county vocational education board established pursuant to section eleven hundred one of the education law and each board of cooperative educational services established pursuant to section nineteen hundred fifty-eight [FN1] of the education law.

4. If for any reason, the comptroller shall deem it necessary that additional information be furnished by any other officer, he may require such additional information from such other officer in such form as he may deem necessary to carry into effect the purposes of this article.

5. All reports shall be certified by the officer making the same. Except as otherwise provided in this subdivision with respect to the time for filing, all reports shall be filed with the comptroller within sixty days after the close of the fiscal year of such municipal corporation, district, agency or activity, provided, however, that upon written request from the chief fiscal officer of a municipal corporation, district, agency or activity, the comptroller may extend such sixty day period for filing such report for an additional sixty days. Reports may be filed by electronic transmission or in paper form. The method of certifying a report filed in electronic form shall be prescribed by the comptroller. It shall be the duty of the incumbent officer at the time such reports are required to be filed with the comptroller to file such report. The refusal or wilful neglect of such officer to file a report as herein prescribed shall be a misdemeanor and subject the financial officer so refusing or neglecting to a penalty of five dollars per day for each day's delay beyond the sixty days to be paid on demand of the comptroller. Notwithstanding any of the provisions contained in this section:

New York General Municipal Law § 6-c. Capital reserve funds for counties, cities, villages, towns and sewer and water improvement districts

7. The moneys in each such fund shall be deposited and secured in the manner provided by section ten of this article. The governing board or the chief fiscal officer of such municipality, if the governing board shall delegate such duty to him, may invest the moneys in each such fund in the manner provided in section eleven of this article. Any interest earned or capital gains realized on the moneys so deposited or invested shall accrue to and become part of each such fund. The separate identity of each such fund shall be maintained, whether its assets consist of cash or investments or both.

...

10. The chief fiscal officer shall keep a separate account for each fund established. Such account shall show:

- a. The date and amount of each sum paid into the fund.
- b. The interest earned by such fund.
- c. The capital gains or losses resulting from the sale of investments of the fund.
- d. The interest or capital gains which have accrued to the fund.
- e. The amount and date of each withdrawal from the fund.
- f. The assets of the fund, indicating the cash balance therein and a schedule of the amounts invested in federal or state obligations.

The chief fiscal officer, at the termination of each fiscal year, shall render a detailed report of the operation and condition of each of such funds to the governing board.

New York General Municipal Law § 6-e. Contingency and tax stabilization reserve fund for municipal corporations

1. As used in this section:

- a. "Annual budget" means the annual budget or estimate, as finally adopted, of a municipal corporation which is required by law to adopt an annual budget or estimate of the expenditures to be made for a fiscal year for the general support or for the expenses of the government of such municipal corporation during such fiscal year.
- b. "Base year" means the most recent fiscal year for which an annual report has been filed with the state comptroller pursuant to section thirty of this chapter.
- c. "Chief executive officer" means a chief executive officer as defined in paragraph five-a of section 2.00 of the local finance law.
- d. "Chief fiscal officer" means a chief fiscal officer as defined in paragraph five of section 2.00 of the local finance law.

e. "Eligible portion of the annual budget" means:

...

e. When preparing the tentative budget of a municipal corporation, if the current balance of a contingency and tax stabilization reserve fund, as shown by the statement of the chief fiscal officer required by subdivision six of this section, exceeds ten percent of the eligible portion of the annual budget for the current fiscal year, such excess shall be used to reduce the amount of real property taxes needed to finance the eligible portion of the annual budget for the next succeeding fiscal year.

5. The moneys in the contingency and tax stabilization reserve fund shall be deposited in one or more of the banks or trust companies designated, in the manner provided by law, as depositories of the funds of such municipal corporation. The governing board, or the chief fiscal officer having custody of such money of such municipal corporation, if the governing board shall delegate such duty to him, may invest the moneys in such fund in obligations specified in section eleven of this article. Any interest earned or capital gain realized on the money so deposited or invested shall accrue to and become part of such fund.

6. The chief fiscal officer shall account for the contingency and tax stabilization reserve fund separate and apart from all other funds of the municipal corporation. Such accounting shall show: the source, date and amount of each sum paid into the fund; the interest earned by such fund; capital gains or losses resulting from the sale of investments of the fund; the order, source thereof, date and amount of each appropriation from this fund; the assets of the fund, indicating cash balance and a schedule of investments. Not later than sixty days after the start of each fiscal year and at such times as may be required by the governing board, the chief fiscal officer shall furnish to the governing board a detailed report of the operation and condition of the fund during the preceding fiscal year which shall include a statement of receipts and disbursements, and a statement of the balance of the fund as of the last day of such preceding fiscal year and such other dates as may be specified by the governing board. Not later than thirty days prior to the last date provided by law for the filing of the tentative budget, the chief fiscal officer shall furnish to the officer or body responsible for preparing the tentative budget a statement of the current balance of the fund.

New York General Municipal Law § 6-h. Reserve fund for payment of bonded indebtedness in counties, cities, villages, towns and fire districts

5. An expenditure from such a reserve fund may only be made by appropriation pursuant to a resolution of the governing board of the municipal corporation or fire district establishing the same and only for the payment of the principal and interest on bonds issued by such municipal corporation or fire district and forming a part of an issue having a maximum maturity of not less than five years; or for the purchase of bonds of such municipal corporation or fire district forming a part of an issue having a maximum maturity of not less than five years at a price not to exceed the par value thereof and accrued interest to the date of delivery of such bonds to such municipal corporation or fire district, provided, however, that if any such bonds were issued subject to the right of such municipal corporation or fire district to redeem the same prior to the maturity date thereof then such purchase may be made for the redemption of such bonds at the price and on the terms stated in such bonds or in the proceeding authorizing the same as the case may be.

Where provision has been made in the current budget from funds other than a reserve fund for the payment of the principal and interest on bonds or the purchase thereof, no expenditure may be made for the purchase or payment of the same from such a reserve fund during the current fiscal year for which such budget was adopted.

All expenditures from such fund as provided in this subdivision may only be made by the chief fiscal officer of the municipal corporation or fire district establishing the same.

...

7. The chief fiscal officer shall keep a separate account for each fund established. Such account shall show:

- a. The date and amount of each sum paid into the fund.
- b. The interest earned by such fund.
- c. The capital gains or losses resulting from the sale of investments of the fund.
- d. The interest or capital gains which have accrued to the fund.
- e. The amount and date of each withdrawal from the fund.
- f. The assets of the fund, indicating the cash balance therein and a schedule of the amounts invested. The chief fiscal officer at the termination of each fiscal year shall render a detailed report of the operation and condition of each of such funds to the governing board.

New York General Municipal Law § 6-l. Mandatory reserve fund for municipal corporations, fire districts and school districts

...

3. Appropriations from such fund shall be made only for the payment or payments of all or part of the said outstanding indebtedness. However, any balance remaining in said fund upon the payment of all outstanding principal and interest may be expended for any lawful purpose of the municipal corporation, fire district or school district.

4. The chief fiscal officer shall keep a separate account for each of such funds established. Such account shall show:

- a. The date of creation of the fund and the amount credited thereto.
- b. The interest earned by such fund.
- c. The capital gains or losses resulting from the sale of investments of the fund.
- d. The interest or capital gains which have accrued to the fund.
- e. The amount and date of each withdrawal from the fund.
- f. The assets of the fund, indicating the cash balance therein and a schedule of the amounts invested. The chief fiscal officer at the termination of each fiscal year shall render a detailed report of the operation and condition of each of such funds to the governing board.



SARATOGA COUNTY ATTORNEY

Saratoga County Municipal Center
40 McMaster Street
Ballston Spa, New York 12020

Telephone: 518-884-4770
Fax: 518-884-4720 (Not for Service)

MICHAEL J. HARTNETT
County Attorney

MICHELLE W. GRANGER
First Assistant

Assistants
HUGH G. BURKE
VIDA L. MCCARTHY-CERRITO
ALEXIS M. OSBORNE
MICHAEL P. NAUGHTON SR.
NICHOLAS M. MARTIN

Paralegal Specialists
JENNY R. MARCOTTE

MEMORANDUM

To: Supervisor Darren O'Connor, Chair – Human Resources & Insurance
Marcy McNamara – Director of Human Resources

From: Michael Hartnett, Esq., County Attorney *MJH*

Date: June 17, 2021

RE: Re-Classification of Paralegal Specialist to Assistant County Attorney Position

cc: Steven Bulger - County Administrator
Tina Potter – Commissioner of Social Services

Dear Supervisor O'Connor and Director McNamara:

Please consider this request to consider reclassification a position within the County Attorney's Office to add an additional Assistant County Attorney. This requested reclassification would provide a third attorney to be assigned to the Department of Social Services, with a primary focus on the representation of the Child Protective and Foster Care Units in Family Court Act Article 10 (Abuse/Neglect) proceedings in Family Court. This request is being made jointly by the County Attorney and the Commissioner of Social Services. Following your review and subject to your approval, it would be my inclination to provide this to the Human Resources and Insurance Committee at the July meeting.

Background and Timing:

The County Attorney's Office is currently comprised of seven (7) attorneys, with two Assistant County Attorneys assigned to the Department of Social Services and co-located in the Services building at 152 West High Street. These two attorneys are responsible for the representation of the Child Protective and Foster Care Units. These positions are currently supported by a paralegal specialist position which is also co-located in the Services building. Recently, the County Attorney's Office had a Paralegal Specialist transfer to the Clerk of the Board of Supervisors. This transfer has resulted in the paralegal specialist previously assigned to the Department of Social Services being re-assigned to Building 1 to assist the County Attorney with contracts and related work. This request is to reclassify the currently vacant Paralegal Specialist position to a third Assistant County Attorney position. Given the timing of the transfer and resulting re-assignment of duties within the County Attorney's office, this request is being made outside of the budget process.

Supportive Data:

Over the last decade, the volume of work allocated to the two attorneys has steadily increased. A review of Family Court filings on behalf of the Department of Social Services:

Year	Family Court Article 10 Abuse/Neglect Filings	Foster Care Applications	Termination of Parental Rights (SSL 384-b; Judicial Surrenders; Adoption)	Total
2011	58	66	3	127
2012	94	56	6	156
2013	60	72	3	135
2014	101	86	7	194
2015	123	79	2	204
2016	118	90	18	226
2017	113	71	10	194
2018	144	67	12	193
2019	217	75	14	306
2020	176	84	26	286
2021 (ytd)	52	49	15	116

This data is correlated to the increase in Child Protective Reports being received by the Department of Social Services:

2013: 2,326	2017: 2,918	2021 (Projected): 3,500+
2014: 2,486	2018: 3,006	
2015: 2,428	2019: 3,114	
2016: 2,645	2020: 2,920	

For comparison, the Public Defender's Office family court caseload is currently staffed by four attorneys who are assisted by both a full-time Paralegal and a Social Worker. Additionally, the recent trends of litigation in Family Court indicate an increase in appeals, motions, discovery demands and trials. Recently the Public Defender applied for grant funding for staffing assistance with the express intent of further increasing family court litigation.

Funding:

Positions within the County Attorney's Office responsible for work associated with Department of Social Services that is Title IV-E and Title IV-D related is 92% reimbursable through federal funding. There is no 2021 budget impact for this request as the funds are included in the 2021 budget.

Starting salary:		
Paralegal Specialist:	\$53,024.70	
Assistant County Attorney:	\$92,340.60	
Upgrade Cost:	\$39,315.90	(92% Reimbursed)

Total Budget Impact and Local Share for Reclassification: \$3,146.00



SARATOGA COUNTY

AGENDA ITEM REQUEST FORM

TO: Steve Bulger, County Administrator
Ridge Harris, Deputy County Administrator
Michael Hartnett, County Attorney
Therese Connolly, Clerk of the Board

CC: Jason Kemper, Planning Director
Bridget Rider, Deputy Clerk of the Board
Matt Rose, Management Analyst
Clare Giammusso, County Attorney's Office

FROM: Michael Hartnett - County Attorney

DATE: 6/18/2021

RE: Re-Classification Request: Paralegal Specialist to Assistant County Attorney

COMMITTEE: Human Resources and 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: YES or NO
(If yes, budget lines and impact must be provided)

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

Reclassification of (currently vacant) Paralegal Specialist (Grade 10) to Assistant County Attorney (e-1).

4. Specific details on what the resolution will authorize:

This requested reclassification would provide a third attorney to be assigned to the Department of Social Services, with a primary focus on the representation of the Child Protective and Foster Care Units in Family Court Act Article 10 (Abuse/Neglect) proceedings in Family Court. This request is being made jointly by the County Attorney and the Commissioner of Social Services.

5. Does this item require hiring a Vendors/Contractors: YES or 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: YES or 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: YES or NO
- Effective date **July 21, 2021**
 - Salary and grade **\$92,341**
8. Is a new employee being hired: YES or NO
- Effective date of employment
 - Salary and grade
 - Appointed position:
 - Term:
9. Is a grant being accepted: YES or 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):
- Please see attached memorandum in support. Salary/Fringe is 92% reimbursable through federal funding under Title IV-E. The reclassification will result in difference of \$39,315: of which the local share is \$3,146. Funds for the local share are already allocated in the 2021 Budget resulting in no budget impact.



SARATOGA COUNTY

AGENDA ITEM REQUEST FORM

TO: Steve Bulger, County Administrator
Ridge Harris, Deputy County Administrator
Michael Hartnett, County Attorney
Therese Connolly, Clerk of the Board

CC: Jason Kemper, Planning Director
Bridget Rider, Deputy Clerk of the Board
Matt Rose, Management Analyst
Clare Giammusso, County Attorney's Office

FROM: Drew Jarosh, Treasurer

DATE: 6/17/2021

RE: Expansion to Tyler NWS Accounting System: Employee e-self service

COMMITTEE: Technology & HR

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: **YES** or **NO**
(If yes, budget lines and impact must be provided)

A.16.000-8160 Data Processing Fees: +\$34,800, A.14.999-9000 Contingency Unallocated Amount, \$-34,800

3. Are there Amendments to the Compensation Schedule: **YES** or **NO**
(If yes, provide details)

4. Specific details on what the resolution will authorize:

The signing of an amendment with the County's contract with Tyler Technology, and the procurement of an employee self-service module "e-Suite-eEmployee" allowing county employees the ability to obtain their pay information and forms securely online and interact with various HR and Payroll functions securely online.

5. Does this item require hiring a Vendors/Contractors: **YES** or **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: YES or 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: YES or NO
- Effective date
 - Salary and grade
8. Is a new employee being hired: YES or NO
- Effective date of employment
 - Salary and grade
 - Appointed position:
 - Term:
9. Is a grant being accepted: YES or 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):
- The Board previously authorized the IT Department to upgrade the county's IT data center. IT has requested that, if this eSuite project is approved, that it be done so in conjunction and concurrently with the data center upgrade so as to minimize the installation requirements of software, downtime, and other factors.
- The \$34,800 budget amendment is to cover \$32,300 in licensing an installation costs and a prorated annual maintenance fee (\$4,968 annually) of \$2,500.



AMENDMENT

This amendment ("Amendment") is effective as of the date of signature of the last party to sign as indicated below ("Amendment Effective Date"), by and between Tyler Technologies, Inc. with offices at One Tyler Drive, Yarmouth, Maine 04096 ("Tyler") and the County of Saratoga, New York ("Client").

WHEREAS, Tyler and the Client are parties to a License Agreement with an effective date of December 1, 1997 (the "Agreement"); and

WHEREAS, Tyler and Client desire to amend the terms of the Agreement as provided herein.

NOW THEREFORE, in consideration of the mutual promises hereinafter contained, Tyler and the Client agree as follows:

1. The items set forth in the sales quotation attached as Exhibit 1 to this Amendment are hereby added to the Agreement as of the Amendment Effective Date. Payment of fees and costs for such items shall conform to the following terms:
 - a. License Fees. License fees will be invoiced on the date when Tyler provides the Client with access to the applicable Tyler Software (the "Software Access Date").
 - b. Maintenance Fees. Year 1 annual maintenance and support fees, prorated for a time period commencing on the Software Access Date and ending at the same time as the end of the then-current annual maintenance term for the Tyler Software already licensed under the Agreement, are due on the Software Access Date. Subsequent annual maintenance fees will be invoiced in accord with the Agreement.
 - c. Services Fees & Expenses. Services added to the Agreement pursuant to this Amendment, along with applicable expenses, shall be invoiced as provided and/or incurred.
2. This Amendment shall be governed by and construed in accordance with the terms and conditions of the Agreement.
3. Except as expressly indicated in this Amendment, all other terms and conditions of the Agreement shall remain in full force and effect.

[SIGNATURE PAGE FOLLOWS]

IN WITNESS WHEREOF, the parties hereto have executed this Amendment as of the dates set forth below.

Tyler Technologies, Inc.

County of Saratoga, New York

By: _____

By: _____

Name: _____

Name: _____

Title: _____

Title: _____

Date: _____

Date: _____



Exhibit 1
Amendment Investment Summary

The following Amendment Investment Summary details the software and services to be delivered by us to you under this Amendment. This Amendment Investment Summary is effective as of the Amendment Effective Date. Capitalized terms not otherwise defined will have the meaning assigned to such terms in the Agreement.

In the event a comment in the following sales quotation conflicts with a provision of this Amendment, the provision in this Amendment shall control.

REMAINDER OF PAGE INTENTIONALLY LEFT BLANK



Quoted By: Christopher Vargo
 Quote Expiration: 6/30/2021
 Quote Name: Saratoga County, NY - eSuite Base, eEmployee,
 Quote Number: 2021-124226
 Quote Description: Saratoga County, NY - eSuite Base, eEmployee,

Sales Quotation For
 Saratoga County
 25 W High St
 Ballston Spa , NY 12020-1963
 Phone: +1 (518) 885-5381

Tyler Software and Related Services

Description	License	Impl Hours	Impl Cost	Module Total	Maintenance
Financials					
eSuite Base	\$23,100	16	\$2,800	\$25,900	\$4,158
Payroll/HR					
eEmployee	\$4,500	8	\$1,400	\$5,900	\$810
	<i>Sub-Total:</i>		<i>\$4,200</i>	<i>\$31,800</i>	<i>\$4,968</i>
	TOTAL:	24	\$4,200	\$31,800	\$4,968

Other Services

Description	Quantity	Unit Price	Extended Price	Maintenance
Project Management	1	\$500	\$500	\$0
	TOTAL:		\$500	\$0

Summary

	One Time Fees	Recurring Fees
Total Tyler Software	\$27,600	\$4,968
Total Tyler Services	\$4,700	\$0
Total Third Party Hardware, Software and Services	\$0	\$0
Summary Total	\$32,300	\$4,968
Contract Total	\$37,268	

Unless otherwise indicated in the contract or amendment thereto, pricing for optional items will be held for six (6) months from the Quote date or the Effective Date of the contract, whichever is later.

Client Approval: _____ Date: _____

Print Name: _____ P.O.#: _____

Comments

Client agrees that items in this sales quotation are, upon Client's signature or approval of same, hereby added to the existing agreement ("Agreement") between the parties and subject to its terms. Additionally, payment for said items, as applicable but subject to any listed assumptions herein, shall conform to the following terms:

- License fees for Tyler and third party software are invoiced upon the earlier of (i) deliver of the license key or (ii) when Tyler makes such software available for download by the Client;
 - Fees for hardware are invoiced upon delivery;
 - Fees for year one of hardware maintenance are invoiced upon delivery of the hardware;
 - Annual Maintenance and Support fees, SaaS fees, Hosting fees, and Subscription fees are first payable when Tyler makes the software available for download by the Client (for Maintenance) or on the first day of the month following the date this quotation was signed (for SaaS, Hosting, and Subscription), and any such fees are prorated to align with the applicable term under the Agreement, with renewals invoiced annually thereafter in accord with the Agreement.
 - Fees for services included in this sales quotation shall be invoiced as indicated below.
 - Implementation and other professional services fees shall be invoiced as delivered.
 - Fixed-fee Business Process Consulting services shall be invoiced 50% upon delivery of the Best Practice Recommendations, by module, and 50% upon delivery of custom desktop procedures, by module.
 - Fixed-fee conversions are invoiced 50% upon initial delivery of the converted data, by conversion option, and 50% upon Client acceptance to load the converted data into Live/Production environment, by conversion option. Where conversions are quoted as estimated, Tyler will invoice Client the actual services delivered on a time and materials basis.
 - Except as otherwise provided, other fixed price services are invoiced upon complete delivery of the service. For the avoidance of doubt, where "Project Planning Services" are provided, payment shall be invoiced upon delivery of the Implementation Planning document. Dedicated Project Management services, if any, will be invoiced monthly in arrears, beginning on the first day of the month immediately following initiation of project planning.
 - If Client has purchased any change management services, those services will be invoiced in accordance with the Agreement.
 - Expenses associated with onsite services are invoiced as incurred.
- The costs provided in this proposal are based on all of the proposed products and services being obtained from Tyler Technologies. Should significant portions of the products or services be deleted, Tyler reserves the right to adjust its prices accordingly.
- Tyler supports SQL Server Reporting Services (SSRS) for server-based report generation and ad hoc reporting. SSRS utilizes a web services interface to support the development of custom reporting applications. SSRS is included in the Express, Workgroup, Standard, and Enterprise editions of Microsoft SQL Server. Customers may elect to use other third-party report generation tools including Crystal Reports however Tyler does not provide support for these tools and cannot guarantee compatibility.
- Tyler's quote contains estimates of the amount of services needed, based on our preliminary understanding of the size and scope of your project. The actual amount of services depends on such factors as your level of involvement in the project and the speed of knowledge transfer.
- Tyler's prices do not include applicable local, city or federal sales, use excise, personal property or other similar taxes or duties, which you are responsible for determining and remitting.

Comments

- In the event Client cancels services less than two (2) weeks in advance, Client is liable to Tyler for (i) all non-refundable expenses incurred by Tyler on Client's behalf; and (ii) daily fees associated with the cancelled services if Tyler is unable to re-assign its personnel.
- With our 2018.1 Release Tyler requires the use of Tyler Identity and at least a 2048 bit RSA SSL Security Certificate for all New World ERP applications if hosted by the Client. This certificate is required to encrypt sensitive information as it travels across the network. There are various vendors who sell SSL Certificates, with all ranges of prices.
- Tyler's cost is based on all of the proposed products and services being obtained from Tyler. Should significant portions of the products or services be deleted, Tyler reserves the right to adjust prices accordingly.
- Unless otherwise noted, prices submitted in the quote do not include travel expenses incurred in accordance with Tyler's then-current Business Travel Policy.