



Government Review & Efficiency Committee

Wednesday, May 4, 2022 2:30PM
40 McMaster Street, Ballston Spa, NY

Chair: John Lant

Members:

Phil Barrett
Diana Edwards-VC
Mark Hammond
Mike Smith

- I. Welcome and Attendance
- II. Approval of the minutes of the February 2, 2022 meeting.
- III. Amending the County Policy on Budget Transfers
- IV. Amending Local Law #1 of 1950 and setting a public hearing
- V. Amending the Operating Budget Procedure
- VI. Amending the Purchasing Procedures Policy
- VII. Other Business
- VIII. Adjournment



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
Stephanie Hodgson, Director of Budget

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

DEPARTMENT: County Administrator



DATE: 4.28.22

COMMITTEE: Government Review & Efficiency



RE: Amending the County policy on budget transfers

1. Is a Resolution Required:

2. Proposed Resolution Title:

Amending the County policy on Budget Transfers

3. Specific Details on what the resolution will authorize:

This proposal will amend the budget transfer policy to allow for transfers within each Fund of the county budget as approved by the Board of Supervisors. This will allow for more accurate, real-time accounting of county funds.

This column must be completed prior to submission of the request.

County Attorney's Office
Consulted

4. Is a Budget Amendment needed: YES or NO
 If yes, budget lines and impact must be provided.
 Any budget amendments must have equal and offsetting entries.

County Administrator's Office
 Consulted

Please see attachments for impacted budget lines.
 (Use ONLY when more than four lines are impacted.)

Revenue

Account Number	Account Name	Amount

Expense

Account Number	Account Name	Amount

Source of Revenue

Fund Balance	State Aid	Federal Aid	Other

5. Identify Budget Impact:

No Budget Impact

- a. G/L line impacted
- b. Budget year impacted
- c. Details

6. Are there Amendments to the Compensation Schedule?

YES or NO (If yes, provide details)

a. Is a new position being created? Y N

Effective date

Salary and grade

b. Is a new employee being hired? Y N

Effective date of employment

Salary and grade

Appointed position:

Term

c. Is this a reclassification? Y N

Is this position currently vacant? Y N

Is this position in the current year compensation plan? Y N

7. Does this item require hiring a Vendors/Contractors: Y N

a. Were bids/proposals solicited: Y N

b. Type of Solicitation

c. Is the vendor/contractor a sole source: Y N

d. If a sole source, appropriate documentation has been submitted and approved by Purchasing Department? Y N N/A

e. Commencement date of contract term:

f. Termination of contract date:

g. Contract renewal and term:

h. Contact information:

i. Is the vendor/contractor an LLC, PLLC or partnership:

j. State of vendor/contractor organization:

k. Is this a renewal agreement: Y N

l. Vendor/Contractor comment/remarks:

Human Resources Consulted

Purchasing Office Consulted

8. Is a grant being accepted: YES or NO

County Administrator's Office
Consulted

a. Source of grant funding:

b. Agency granting funds:

c. Amount of grant:

d. Purpose grant will be used for:

e. Equipment and/or services being purchased with the grant:

f. Time period grant covers:

g. Amount of county matching funds:

h. Administrative fee to County:

9. Supporting Documentation:

Marked-up previous resolution

No Markup, per consultation with County Attorney

Program information summary

Copy of proposal or estimate

Copy of grant award notification and information

Other Markup policy

10. Remarks:

Currently, the Administrator is authorized to approve budget transfers within departments. This policy amendment will allow for transfers from the contingency fund directly to departments and reallocate savings to cover budget shortfalls from one department to another.

BUDGET TRANSFERS

A budget is a series of assumptions compiled by Department Heads and approved by the County Administrator and Board of Supervisors. If the assumptions prove to be correct, there is no need to make budget transfers. However, as experience modifies assumptions, Department Heads must take immediate actions to maintain the integrity of their budgets.

As soon as a Department Head forecasts a budget shortfall, the County Administrator must be notified. It will be the Department Head's responsibility to find resources within his or her budget to resolve the deficit. With the approval of the County Administrator, a budget transfer will be requested on a form designed by the County Administrator for that purpose and will include the accounts from which and to which the funds are being transferred and a detailed explanation of the changing assumptions which dictate the transfer. In preparing the request for budget transfer, the Department Head must:

1. Ensure that funds are available for the transfer;
2. Ensure that funds transferred are sufficient to cover the projected shortfall;
3. Explain the specific unanticipated event causing the shortfall.

The County Administrator has the authority to approve any budget transfers which are totally within ~~the budget established for each Fund Department budgets.~~

All other budget transfers must be approved by the appropriate Legislative Committee, Law and Finance Committee and the Board of Supervisors.



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Audra Hedden, County Administrator's Office

DEPARTMENT: County Administrator



DATE: 4.28.22

COMMITTEE: Government Review & Efficiency



RE: Amending Local Law 1 of 1950 and setting a public hearing

1. Is a Resolution Required:

2. Proposed Resolution Title:

Amending Local Law 1 of 1950 and Setting a Public Hearing

3. Specific Details on what the resolution will authorize:

This amendment will adjust the filing date of the tentative budget from October 15 to November 15 annually. This would allow for the Real Property Tax Agency to finalize tax levy amounts resulting in a more accurate tentative budget submitted to the Board of Supervisors.

This column must be completed prior to submission of the request.

County Attorney's Office
Consulted

4. Is a Budget Amendment needed: YES or NO
 If yes, budget lines and impact must be provided.
 Any budget amendments must have equal and offsetting entries.

County Administrator's Office
 Consulted

Please see attachments for impacted budget lines.
 (Use ONLY when more than four lines are impacted.)

Revenue

Account Number	Account Name	Amount

Expense

Account Number	Account Name	Amount

Source of Revenue

Fund Balance	State Aid	Federal Aid	Other

5. Identify Budget Impact:

No Budget Impact

- a. G/L line impacted
- b. Budget year impacted
- c. Details

6. Are there Amendments to the Compensation Schedule?

YES or NO (If yes, provide details)

a. Is a new position being created? Y N

Effective date

Salary and grade

b. Is a new employee being hired? Y N

Effective date of employment

Salary and grade

Appointed position:

Term

c. Is this a reclassification? Y N

Is this position currently vacant? Y N

Is this position in the current year compensation plan? Y N

7. Does this item require hiring a Vendors/Contractors: Y N

a. Were bids/proposals solicited: Y N

b. Type of Solicitation

c. Is the vendor/contractor a sole source: Y N

d. If a sole source, appropriate documentation has been submitted and approved by Purchasing Department? Y N N/A

e. Commencement date of contract term:

f. Termination of contract date:

g. Contract renewal and term:

h. Contact information:

i. Is the vendor/contractor an LLC, PLLC or partnership:

j. State of vendor/contractor organization:

k. Is this a renewal agreement: Y N

l. Vendor/Contractor comment/remarks:

Human Resources Consulted

Purchasing Office Consulted

8. Is a grant being accepted: YES or NO

County Administrator's Office
Consulted

a. Source of grant funding:

b. Agency granting funds:

c. Amount of grant:

d. Purpose grant will be used for:

e. Equipment and/or services being purchased with the grant:

f. Time period grant covers:

g. Amount of county matching funds:

h. Administrative fee to County:

9. Supporting Documentation:

Marked-up previous resolution

No Markup, per consultation with County Attorney

Program information summary

Copy of proposal or estimate

Copy of grant award notification and information

Other Marked up Local Law

10. Remarks:

Local Law 1 of 1950 is attached and the proposed insertion in Section 4 is italicized and proposed deletion is stricken-through.

LOCAL LAW NO. 1, 1950

Introduced by Messrs. McNaughton, Haxstun and Garrett:

A Local Law of the County of Saratoga, New York, to alter certain requirements of Sections 351, 353, 354 and 357 of Article VII of the County Law, enacted by Chapter 691 of the Laws of 1950.

Be it enacted by the Board of Supervisors of Saratoga County as follows:

Section 1. In accordance with Section 357 of Article VII of the County Law, being Chapter 691 of the Laws of 1950, the Law and Finance Committee of the Board of Supervisors is hereby designated as the committee to review the tentative budget required to be submitted to the Board of Supervisors by the budget officer pursuant to Section 354 of said County Law.

Section 2. The Chairman of the Law and Finance Committee of the Board of Supervisors is hereby designated as the budget officer as authorized by Section 351, Subdivision 3 of said County Law.

Section 3. The head of each administrative unit shall submit annually to the budget officer on or before the second Monday in September an estimate of revenues and expenditures of such administrative unit for the ensuing fiscal year, in compliance with Section 353 of said County Law.

Section 4. The tentative budget, the budget message, if any, and the proposed appropriation resolution required to be prepared and filed by the budget officer with the Clerk of the Board of Supervisors pursuant to said County Law shall be filed not later than the 15th day of *November* ~~October~~.

Section 5. The Law and Finance Committee of the Board of Supervisors shall, within ten days after the receipt of a copy of the tentative budget, file its report with the Clerk of the Board of Supervisors in accordance with the provisions of Section 357 of said County Law.

Section 6. This Act shall take effect on August 1, 1950.

Local Law No. 1, Year 1950 - Cont'd

Presented	July 10, 1950
Hearing	July 24, 1950
Adopted	July 24, 1950



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Audra Hedden, County Administrator's Office

DEPARTMENT: County Administrator



DATE: 4.28.22

COMMITTEE: Government Review & Efficiency



RE: Amending the Operating Budget Procedure Policy

This column must be completed prior to submission of the request.

1. Is a Resolution Required:

2. Proposed Resolution Title:

Amending the Operating Budget Procedure

3. Specific Details on what the resolution will authorize:

This proposal makes the following changes to the policy:
- Amends Section B Subsection 3 to move the date of the filing of the tentative budget from October 15th to November 15th. This is subject to approval of the proposed changes to Local Law 1 of 1950.
- In Section E subsection 1 - Removes reference to Resolution 1-21, as that resolution was rescinded.
- In Section G, creates subsection 7 clarifying need for contracts following appropriation
Under Capital budget Procedure:
- Amends the policy from a six-year plan to a five-year plan
-Section B subsection 1 - Amends membership of the Long Range Capital Planning Committee

County Attorney's Office
Consulted

4. Is a Budget Amendment needed: YES or NO
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County Administrator's Office
 Consulted

Please see attachments for impacted budget lines.
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Account Number	Account Name	Amount

Source of Revenue

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a. Is a new position being created? Y N

Effective date

Salary and grade

b. Is a new employee being hired? Y N

Effective date of employment

Salary and grade

Appointed position:

Term

c. Is this a reclassification? Y N

Is this position currently vacant? Y N

Is this position in the current year compensation plan? Y N

7. Does this item require hiring a Vendors/Contractors: Y N

a. Were bids/proposals solicited: Y N

b. Type of Solicitation

c. Is the vendor/contractor a sole source: Y N

d. If a sole source, appropriate documentation has been submitted and approved by Purchasing Department? Y N N/A

e. Commencement date of contract term:

f. Termination of contract date:

g. Contract renewal and term:

h. Contact information:

i. Is the vendor/contractor an LLC, PLLC or partnership:

j. State of vendor/contractor organization:

k. Is this a renewal agreement: Y N

l. Vendor/Contractor comment/remarks:

Human Resources Consulted

Purchasing Office Consulted

8. Is a grant being accepted: YES or NO

County Administrator's Office Consulted <input checked="" type="checkbox"/>
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a. Source of grant funding:

b. Agency granting funds:

c. Amount of grant:

d. Purpose grant will be used for:

e. Equipment and/or services being purchased with the grant:

f. Time period grant covers:

g. Amount of county matching funds:

h. Administrative fee to County:

9. Supporting Documentation:

Marked-up previous resolution

No Markup, per consultation with County Attorney

Program information summary

Copy of proposal or estimate

Copy of grant award notification and information

Other Marked-up copy of Operating Budget Procedure policy

10. Remarks:

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Adopted: Cty. Admin.
Revised.: 6/01/1984
128-1997
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OPERATING BUDGET PROCEDURE

The preparation of the annual operating budget is governed by County Law Chapter VII as augmented by County procedures. The following timetable and guidelines will be used in Budget preparation unless otherwise modified by the Law & Finance Committee or the County Administrator, or if required by County Law to be modified by Local Law, as applicable.

A. Preparation and Submission of Budget Requests

1. The County Administrator will send Budget worksheets to the head of each Department and Operating Agency by July 15th.
2. As established by Local Law No. 1 of 1950, each Department Head and Head of Operating Agencies shall prepare an annual budget request for the succeeding year and submit them to the County Administrator on or before the second Monday in September. The County Administrator shall share the budget requests with the Law & Finance Committee, and the applicable Chair of each Standing Committee of the Board of Supervisors with jurisdiction over the relevant County Department.
3. In preparing the budget, each Department Head will explain all increases over line items from the previous year and be prepared to explain each line item at the request of the Law & Finance Committee and applicable Chair of the relevant Standing Committee, or County Administrator. In addition, any requests for equipment, personnel or new programs must be fully explained. All explanations shall be in writing and shall be filed on the same date as the budget request.
4. In the event that a Department Head fails to submit an estimate by October 1st, the County Administrator shall prepare the budget request for the affected Department.

B. Preparation and filing of Tentative Budget

1. The Law & Finance Committee, in collaboration with the applicable Chair of the relevant Board Standing Committee, and the County Administrator, shall review and investigate the budget requests. The Department Head or head of any Operating Agency shall be required to provide data and information and to answer inquiries pertinent to such review or investigation.

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2. Upon the completion of the review and investigation of the budget requests from the Departments and relevant Operating Agencies, the County Administrator shall prepare a tentative budget, accompanied by a budget message with the relevant sections as provided in Section 374 of the County Law. Additionally, the County Administrator shall prepare an appropriation resolution as provided in Section 356 of the County Law.
3. As established by Local Law No. 1 of 1950, the tentative budget, the budget message, and appropriation resolution shall be prepared and filed by the County Administrator with the Clerk of the Board no later than the 15th day of *November*.
4. Within two (2) business days of filing, copies of the Tentative Budget and Budget message shall be shared electronically with each member of the Board of Supervisors and posted to the Saratoga County website in a prominent location easily accessible to the public. Paper copies of the Tentative Budget and Budget message shall be printed upon request of any Supervisor or other County official or employee.

C. Contents of the Tentative Budget

1. The tentative budget as submitted to the Board of Supervisors shall contain the following:
 - a. A statement of the several amounts recommended as necessary to be appropriated for conducting the business of the county for the ensuing fiscal year. Such statement shall be classified by funds and Departments and Operating Agencies which shall be subdivided according to units of organization and shall itemize the character and object of expenditure.
 - b. A statement of the several amounts recommended to be appropriated for Public Benefit Agreements and Supported Outside Agencies.
 - c. A statement of the amount required for payment of interest on and amortization of or redemption of indebtedness of the County during the ensuing fiscal year.
 - d. A statement of the amount recommended as necessary to be appropriated for the payment of judgments against the County payable during the ensuing fiscal year.
 - e. A statement of the amounts needed to provide for uncollectible and uncollected real property taxes.

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- f. A statement of the estimated amount of revenues to be received by the County during the ensuing fiscal year, other than the proceeds of the tax on real estate levied for such fiscal year. Such statement shall be classified to show receipts by funds, administrative units, and sources of revenue.
 - g. A statement of the fund balance for each fund estimated to be on hand at the close of the current fiscal year.
 - h. A statement of the amount of any sinking fund which is available, and which is required to be applied to the payment of the principal of and interest on any indebtedness of the county falling due during the ensuing fiscal year.
 - i. A statement for each reserve fund established showing the current amount, the purpose for which the reserve fund was established and the amounts, if any, recommended to be spent during the ensuing fiscal year.
2. The tentative budget shall be subdivided into the following:
- a. A schedule of recommended appropriations, arranged as to show in parallel columns the following comparative information:
 - i. Expenditures for the last completed fiscal year
 - ii. Appropriations for the current fiscal year, reflecting supplemental appropriations to a date not more than forty-five days prior to the filing of the tentative budget with the Clerk of the Board of Supervisors
 - iii. The amounts requested to be appropriated by Departments, Public Benefit Agreements and Outside Agencies for the ensuing fiscal year
 - iv. The County Administrator's recommended appropriations for the ensuing fiscal year.
 - b. A schedule of estimated revenues other than real estate taxes to be levied, arranged as to show in parallel columns the following comparative information:
 - i. Revenues for the last completed fiscal year
 - ii. Estimated revenues for the current fiscal year as modified to a date not more than forty-five days prior to the filing of the tentative budget with the clerk of the Board of Supervisors
 - iii. The County Administrator's estimate of revenues for the ensuing fiscal year.

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- c. A schedule of estimated fund balances and the amounts thereof to be appropriated in the ensuing fiscal year's budget.
- d. A schedule of reserve funds containing the statements required by paragraph (i) of subdivision 1 of this section.
- e. An outline showing the computation of the amount or amounts to be levied on real estate.
- f. Additionally, a worksheet showing Equalization rate for each Town and City within the County shall also be prepared
- g. A supplemental statement shall be included at the end of the tentative budget which shall set forth the indebtedness of the county evidenced by bonds and notes, including indebtedness authorized and unissued, as of a date not more than forty-five days prior to the filing of the tentative budget with the Clerk of the Board of Supervisors.
- h. The tentative budget shall include any other matter which the Board of Supervisors by Resolution or by Local Law may require or which the County Administrator deems advisable.

D. Review of the Tentative Budget by Law & Finance

1. As established by Local Law No. 1 of 1950, the Law and Finance Committee of the Board of Supervisors is designated as the committee to review the tentative budget required to be submitted to the Board of Supervisors by the County Administrator.
2. Upon the filing of the tentative budget with the Clerk of the Board, the Law & Finance Committee shall review the tentative budget. The Law & Finance Committee must review the tentative budget, and if any changes are proposed, shall prepare a report and file the same with the Clerk of the Board setting forth any proposed changes, alterations, or revisions in the tentative budget. As established by Local Law No. 1 of 1950, The Law and Finance Committee shall, within ten days after the receipt of a copy of the tentative budget, file such report with the Clerk of the Board.
3. All changes, revisions, or alterations of the tentative budget must be 'budget neutral' and maintain a balanced budget of offsetting expenses and revenues.

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4. Within two (2) business days of its submission, copies of the Law & Finance Committee report shall be shared electronically with each member of the Board of Supervisors and posted to the Saratoga County website in a prominent location easily accessible to the public. Paper copies of the report shall be printed upon request of any Supervisor or other County official or employee. A copy of the report shall remain on file in the office of the Clerk of the Board and shall be open to public inspection during business hours.

E. Budget Workshop

1. After the filing of the report of the Law & Finance Committee, or after the 10-day time limit for filing the report as provided in Local Law No. 1 of 1950 has expired, the Board of Supervisors shall schedule a 'Budget Workshop' meeting, which shall be called pursuant to the Rules of the Board of Supervisors process for calling a special meeting (~~Res. 1-21~~). At the Budget Workshop the Board of Supervisors may by formal resolution change, alter or revise the tentative budget.
2. All changes, revisions, or alterations of the tentative budget must be 'budget neutral' and maintain a balanced budget of offsetting expenses and revenues.
3. Within two (2) business days of the passage of the resolution, copies of the resolution shall be shared electronically with each member of the Board of Supervisors and posted to the Saratoga County website in a prominent location easily accessible to the public. Paper copies of the resolution shall be printed upon request of any Supervisor or other County official or employee. A copy of the Board's resolution approving such changes shall remain on file in the office of the Clerk of the Board and shall be open to public inspection during business hours.

F. Public Hearing

1. Before the final adoption of the budget, the Board of Supervisors shall hold a public hearing on the tentative budget including all such changes, alterations, and revisions, as shall have been made by both the Law & Finance Committee, and by the Board of Supervisors by resolution at the Budget Workshop meeting.
2. The Clerk of the Board shall publish notice of the Public Hearing pursuant to County Law Section 359.
3. The Public Hearing shall be held no later than December 20th.

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G. Adoption

1. After completion of the public hearing, the Board of Supervisors, by resolution, may further change, alter, and revise the tentative budget.
2. All changes, revisions, or alterations of the tentative budget must be ‘budget neutral’ and maintain a balanced budget of offsetting expenses and revenues.
3. The tentative budget as changed, altered, and revised shall be finally adopted by resolution of the Board of Supervisors no later than December 20th.
4. Immediately upon the final adoption of the budget, the appropriation resolution as filed with the Clerk of the Board with such amendments as may be necessary to make it conform to the budget as finally adopted, shall be passed by the Board of Supervisors. The budget as finally adopted shall be printed in the annual volume of printed proceedings.
5. Within two (2) business days of adoption, copies of the budget, shall be shared electronically with each member of the Board of Supervisors and posted to the Saratoga County website in a prominent location easily accessible to the public. Paper copies of the adopted budget shall be printed upon request of any Supervisor or other County official or employee. A copy of the adopted budget shall remain on file in the office of the Clerk of the Board and shall be open to public inspection during business hours. Copies of the adopted budget, both electronic and printed, shall be made available no later than December 31st.
6. The adopted budget will be continuously monitored by each Department Head and by the County Administrator. This monitoring will include but not be limited to the formal expenditure and revenue forecasting described in Section “F” of this chapter. Adequate monitoring will allow Department Heads to avoid many budget transfers by improved expenditure control, to make necessary transfers by improved expenditure control, to make necessary transfers more comprehensive and to improve the accuracy of future budgets.
7. *The appropriation of funds authorized through the budget process shall not constitute an agreement with any outside agency or organization. Separate resolutions shall be considered by the Board of Supervisors for the approval of contracts as outlined in the Contracts and Spending Policy.*

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Adopted: 6/01/1984
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CAPITAL BUDGET PROCEDURE

The County's Capital Budget Procedure is defined by Chapter VII of the County Law, Section 373. The Capital Program shall be presented annually by the Budget Officer during the budget process. As part of its commitment to long- and short-term planning, the Board of Supervisors has directed the establishment and maintenance of the *Five* Year Capital Improvement Plan. To implement each annual portion of the plan, the budget officer shall prepare for inclusion in the tentative budget a recommended capital program covering capital projects, if any, to be acquired or constructed during the ensuing fiscal year.

A. Requirements of the annual Capital Budget

1. The Capital Budget will be presented to clearly show:
 - a. The estimated expenditures for each capital project for the ensuing fiscal year and in the case of a capital project not to be completed during the ensuing fiscal year, the estimated amount to be expended therefor after the close of such year.
 - b. The proposed method of financing such capital program, separately indicating the amount of each project proposed to be financed by direct budgetary appropriation and the amount of each project proposed to be financed by the issuance of obligations, showing the proposed types of obligations together with the periods for which they are proposed to be issued.

B. Long Range Capital Planning Committee

1. The *Five* Year Capital Improvement Plan shall be overseen by the Long Range Capital Planning Committee. This Committee shall be appointed by the Chair of the Board of Supervisors at the Board's Organizational meeting each January. The Long Range Capital Planning Committee shall consist of the following members:
 - a. Chair of the Board of Supervisors;
 - b. Chair of the Law & Finance Committee;
 - c. Chair of the Public Works Committee;
 - d. Chair of the Buildings & Grounds Committee;
 - e. *A Member of the Board of Supervisors:*
 - ~~f. Chair of the Technology & Resiliency Committee;~~
 - g. County Treasurer;
 - h. County Administrator;
 - ~~i. County Attorney; and~~
 - ~~j. Director of Planning~~

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2. In the event that a member of the Board of Supervisors is appointed Chair of more than one Standing Subcommittee of the Board of Supervisors identified in the previous section, the Chairman of the Board of Supervisors shall appoint additional members to the Long-Range Capital Planning Committee from the membership of the Board of Supervisors to maintain the composition of nine members of the Long Range Capital Planning committee.
3. The Chairman of the Board of Supervisors shall serve as Chair of the Long Range Capital Committee.
4. The Long Range Capital Committee shall meet quarterly to review the status of the Capital Plan. The County Administrator shall prepare a report for each quarterly meeting.

C. Criteria for Inclusion as a Capital Item

1. In general, any item costing more than \$25,000 and having a useful life of more than five (5) years, shall be subject to review and approval as defined in section D below. Each Department Head shall be entitled to a fair review of any Capital item brought forth for inclusion in the Capital program. The Long Range Capital Committee, at its discretion, may exclude items submitted from the program. The Committee, through the County Administrator, shall communicate reasons for exclusion from consideration to the Department Head.
2. From time to time, items that do not meet the minimum criteria may be included in the Capital Budget, at the discretion of the Long Range Capital Committee; upon recommendation of the Department Head, with the concurrence of the County Administrator.

D. Review and Approval of Capital Budget Requests

1. For an item to be included in the review of Capital Requests, the Department Head must submit a Capital Request form. Forms shall readily be available to departments heads through the County's intranet, and/or through the County Administrator, or Clerk of the Board of Supervisors.
2. To be included in the *Five* Year Capital Plan for the subsequent year's Capital Budget, the Capital Request Form must be submitted to the County Administrator no later than June 30th.

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3. Items to be included in the form shall include but not be limited to the following:
 - a. Description of the Project;
 - b. Date Needed;
 - c. Estimated Total Cost;
 - d. Anticipated Source of Revenue;
 - e. Impact on County staff, space needs, and/or other operational impacts;
 - f. Justification in terms of reduced cost, improved service, equipment maintenance, and benefit to the public; and
 - g. Greater detail, specificity, and documentation may be required, and the County Administrator may enlist additional County staff to assist in preparing this information to complete the form.
4. Standing Committees of the Board of Supervisors may propose a Capital item at any time.
 - a. Items proposed in this way must first be reviewed by the Long Range Capital Committee before being added to the Law & Finance Committee agenda for further adoption.
 - b. The Long Range Capital Committee must meet within 10 business days after receiving such a request.
 - c. The Long Range Capital Committee shall return a recommendation to the Law & Finance Committee within 30 days of receiving the proposal from the Standing Committee.
 - d. Sources of funding for Standing Committee-initiated items shall come from Contingency funding, reserve funds, unassigned fund balance, or any relevant reserve funds or grant awards.
5. Between September 1 and September 30 of each year, the Long Range Capital Committee shall meet to review and recommend any such capital requests to be added to the *Five* Year Capital Improvement Plan through the Capital Request Form process.
6. The Long Range Capital Committee shall make the following determinations on items presented to it for review:
 - a. Include in the *Five* Year Capital Improvement Plan, and recommend expenditures for the following budget year.
 - b. Defer to a future year within the *Five* Year Capital Improvement Plan
 - c. Hold in abeyance pending more information.
 - d. Reject the item.

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Revised.: 6/01/1984
128-1997
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7. The *Five* Year Capital Improvement Plan shall be presented to the Board of Supervisors as part of the budget message, as per Section A above. The *Five* Year Capital Improvement Plan shall be adopted annually concurrently with the County budget.
8. At any time after the adoption of the budget the Board of Supervisors by the affirmative vote of two-thirds of its weighted vote may amend the capital program contained therein by adding, modifying, or abandoning projects. No capital project shall be authorized or undertaken unless included in the budget as adopted or amended.

E. Capital Reserve Funds

1. From time to time, the Long Range Capital Committee may recommend the establishment of Capital Reserve Funds. These recommendations shall be made in consultation of the County Treasurer.
2. The Long Range Capital Committee shall review the County's Reserve Funds annually.

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SUPPORT FOR OUTSIDE AGENCIES AND NOT-FOR PROFIT ORGANIZATIONS

The Board of Supervisors recognizes that there are outside organizations that provide valuable services to the people of Saratoga County that ensure our high quality of life. These organizations can be related to many aspects of community life: recreational, educational, youth, economic development, social services, etc. The Board of Supervisors shall make every effort within its annual budget process to provide some level of funding to these organizations each year.

A. Level of Funding

1. Each year during the budget process, the County Administrator shall propose a level of funding within the tentative budget for the support of Outside Agencies and Not-For-Profit Organizations.
2. The County Administrator will consider prior funding levels, fiscal health of the County, level of unappropriated fund balance and other reserve funds when proposing the level of funding within the Tentative Budget and shall include a statement regarding the funding of Outside Agencies as part of the annual budget message.
3. Payments to Outside Agencies that are the result of legal settlements of the County shall not be included as part of the Outside Agency funding level amount.

B. Application Process

1. Organizations seeking funding from the County must obtain and fill out the County's Outside Agency Funding Application
 - a. Applications shall be readily available on the County's website and copies shall be provided to applicants upon request.
2. Applications for funding shall include:
 - a. A statement describing the specific purpose of the funding request including a detailed narrative, detailed budget, timeline for completion, economic impact to Saratoga County, and number of county residents who will benefit. If the project is a capital improvement to land or a building include a copy of the deed.
 - b. Audited Financial Statements
 - i. Audited Financial Statements shall be required if a request is for more than \$50,000

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- c. Compensation Schedule including all employee names, job titles, salaries & fringe benefits. Please note whether any employee is filling more than one position.
 - d. Operating budget for the current year.
 - e. Proposed or adopted budget for upcoming year.
 - f. Other supporting documents, if applicable
3. The deadline for returning the application to the County is October 1st
4. The Law & Finance Committee will consider all Outside Agency and Not-for-Profit funding requests during its review of the annual tentative budget.
 - a. Applying organizations may be required to appear before the Law & Finance Committee to discuss their funding application upon request of the Committee Chair
 - b. The Law & Finance Committee reserves the right to approve or reject requests that are presented to it during the budget process
 - c. The Law & Finance Committee may at its discretion modify the requested amount to any other amount so desired by the Committee
 - d. Any Supervisor may make a request to the Law & Finance Committee on behalf of an organization, but shall make every effort to obtain the required information for the Outside Agency Funding Application from the Organization they are sponsoring
5. The Law & Finance Committee will include in its report to the Clerk of the Board of Supervisors the proposed awards for Outside agencies
6. The Board of Supervisors reserves the right to modify or reject the awards at its annual Budget Workshop, with an additional opportunity to modify or reject the awards at the Budget adoption meeting.
7. The Clerk of the Board of Supervisors shall notify all successful applicants of their awards no later than December 31st of the calendar year, after the Annual Budget Adoption meeting.



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
Stephanie Hodgson, Director of Budget

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

DEPARTMENT: County Administrator



DATE: 4.28.22

COMMITTEE: Government Review & Efficiency



RE: Amending the Purchasing Procedures Policy

This column must be completed prior to submission of the request.

1. Is a Resolution Required:

2. Proposed Resolution Title:

Amending the Purchasing Procedures policy

3. Specific Details on what the resolution will authorize:

Amending the Purchasing Policy as follows:

- Section 4 - Reducing repetitive documentation requirement for Sole Source purchases by departments
- Section 9 - Formally establishing a requirement to regularly review and document vendor performance
- Creating Sections 11 - Allowing for the acceptance of electronic bids. This amendment to the policy is dependent on the Board of Supervisors approving the use of Electronic Signatures
- Sections 13 - Including software maintenance in the list of items that do not require a purchase order

County Attorney's Office
Consulted

4. Is a Budget Amendment needed: YES or NO
 If yes, budget lines and impact must be provided.
 Any budget amendments must have equal and offsetting entries.

County Administrator's Office
 Consulted

Please see attachments for impacted budget lines.
 (Use ONLY when more than four lines are impacted.)

Revenue

Account Number	Account Name	Amount

Expense

Account Number	Account Name	Amount

Source of Revenue

Fund Balance	State Aid	Federal Aid	Other

5. Identify Budget Impact:

- a. G/L line impacted
- b. Budget year impacted
- c. Details

6. Are there Amendments to the Compensation Schedule?

YES or NO (If yes, provide details)

a. Is a new position being created? Y N

Effective date

Salary and grade

b. Is a new employee being hired? Y N

Effective date of employment

Salary and grade

Appointed position:

Term

c. Is this a reclassification? Y N

Is this position currently vacant? Y N

Is this position in the current year compensation plan? Y N

7. Does this item require hiring a Vendors/Contractors: Y N

a. Were bids/proposals solicited: Y N

b. Type of Solicitation

c. Is the vendor/contractor a sole source: Y N

d. If a sole source, appropriate documentation has been submitted and approved by Purchasing Department? Y N N/A

e. Commencement date of contract term:

f. Termination of contract date:

g. Contract renewal and term:

h. Contact information:

i. Is the vendor/contractor an LLC, PLLC or partnership:

j. State of vendor/contractor organization:

k. Is this a renewal agreement: Y N

l. Vendor/Contractor comment/remarks:

Human Resources Consulted

Purchasing Office Consulted

8. Is a grant being accepted: YES or NO

County Administrator's Office Consulted <input checked="" type="checkbox"/>
--

- a. Source of grant funding:
- b. Agency granting funds:
- c. Amount of grant:
- d. Purpose grant will be used for:
- e. Equipment and/or services being purchased with the grant:
- f. Time period grant covers:
- g. Amount of county matching funds:
- h. Administrative fee to County:

9. Supporting Documentation:

- Marked-up previous resolution
- No Markup, per consultation with County Attorney
- Program information summary
- Copy of proposal or estimate
- Copy of grant award notification and information
- Other Marked-up Purchasing Policy

10. Remarks:

In the attached document, changed are marked in red with additions italicized and deletions stricken-through.

Chapter 2
Section C
Page 1
Date 5/13/80
Opr. Purchasing
Revised 7/15/2014
Res 160-2014
Revised 10/20/2015
Res 205-2015
Revised 6/19/2018
Res 160-2018
Revised 11/19/2019
Res 263-2019
Revised 11/17/2020
Res 239-2020

PURCHASING PROCEDURES

Section I. GENERAL PROVISIONS

The Saratoga County Purchasing Department is charged with the responsibility of purchasing for all County Departments.

If a department requires material, supplies, or equipment and that department has funds available in the appropriate budget account, a Purchase Requisition shall be submitted to the Purchasing Department through the Financial Management Software System along with one valid quote to support the purchase request.

After receipt of an approved requisition the Purchasing Department shall solicit any remaining price quotations from competent and responsible vendors. The only exceptions will be "sole source" items, "Emergencies" (Section 5 of these Procedures) as defined in Subdivision (4) of General Municipal Law §103, items to be procured under State contract, contracts for professional services, purchases subject to competitive bidding, or by "piggy backing" on government contracts awarded in the manner described hereinafter. Any purchase totaling more than \$750.00 shall require a Purchase Order.

Saratoga County may award purchase contracts and service contracts that have been procured pursuant to competitive bidding under General Municipal Law §103 by either lowest responsible bidder or by best value methodology (Local Law 2 of 2014). The determination of the award will be made in cooperation between the requesting department and the Director of Purchasing. The criteria to be used will be determined in advance and clearly stated in the bid solicitation.

Purchases of goods subject to competitive bidding involve expenditures of more than \$20,000.00 and Public Works contracts for services involving an expenditure of more than \$35,000.00, but exclude purchase contracts necessary for the completion of a Public Works contract pursuant to Article 8 of the State Labor Law and excluding any other contract that may in the future be excluded under state law from the best value option. If the dollar thresholds of General Municipal Law § 103 are increased or decreased in the future by the State Legislature, the dollar thresholds set forth herein shall be deemed simultaneously amended to match the new General Municipal Law thresholds. Purchases below the threshold for competitive bidding will be completed utilizing the minimum requirements for quotes as follows:

A. Commodity Purchases/Services Contracts (not to include Professional Services):

Commodities are considered to be materials, supplies, or equipment, and certain purchases that also include a service secondary to the commodity, for example catering. In determining if a commodity purchase meets the Competitive Bid requirement, the County shall consider the reasonable expected aggregate amount of all purchases of the same commodity to be made within a twelve month period commencing on the date of the purchase. No purchases shall be artificially split in order to avoid quoting, competitive procurement, or the creation of a Purchase Order. For the purpose of obtaining services, other than Professional Services which are an exemption to the Competitive Bid provision of New York General Municipal Law, the same requirements will be followed.

Purchase Amount	Purchasing / Department Head Discretion - Single Written Quote	3 Written Quotes	Competitive Bid/ Competitive Contract/RFP
Up to \$2,500	X		
\$2,501 to \$19,999		X	
\$20,000 and Up			X

B. Public Works Project/Sewer District/IT Installation Contracts (not to include Professional Services):

A Public Works/Sewer District/ IT Installation Project are considered to be services, labor, or construction and must be reviewed and approved by the Department of Public Works. If a contract involves both the purchase of commodities and service, the total character of the project will be used to determine the appropriate purchase method by the Director of Purchasing. A PRC number will be obtained from the Department of Labor and a copy of the Prevailing Wage Schedule will be provided to the winning vendor

Purchase Amount	Purchasing / Department Head Discretion - Single Written Quote	3 Written Quotes	Competitive Bid/ Competitive Contract
Up to \$5,000	X		
\$5,001 to \$34,999		X	
\$35,000 and Up			X

Depending on the type of purchase a Purchase Order, Minor Contract, or Major Contract (see Chapter 2, Section H) must be obtained to finalize the purchase. The inability to obtain the necessary number of quotes will not affect the validity of a particular purchase order; however, a written explanation shall be attached to the affected purchase order by the Director of Purchasing.

For purchase contracts and service contracts that must be procured pursuant to competitive bidding under General Municipal Law §103, in the event that no bids are received the Director of Purchasing should re-advertise for bids in a manner that provides for broader circulation of the advertisement for bids, if possible. If no bids are received after re-advertisement, the goods and services may then be procured on the openmarket.

When utilizing a competitive bid/RFP for procurement it will be the responsibility of the requesting department to provide an adequate description/specification of the commodity or service needed for the preparation of the bid/proposal. The description/specification should be written so as not to restrict competition or otherwise preclude the most economical purchase of the required commodity/service.

Section 2. BEST VALUE

Goods and services procured and awarded on the basis of "best value" are those that Saratoga County determines will be of the highest quality while being the most cost efficient. The determination of quality and cost efficiency shall be based on objective, quantifiable, clearly described, and documented criteria, which may include, but shall not be limited to any or all of the following:

1. cost of maintenance for good(s) or service(s);
2. features of the offered product or services set forth in detailed specification for the product offered;
3. warranties and/or maintenance to be provided with the product or service;
4. product life of good(s) or service(s);
5. references, past performance and reliability or durability of the product offered and current or past experience with the provision of similar goods or services;
6. organization, staffing (both members of staff and particular abilities and experiences), and ability to undertake the type and complexity of the work;
7. financial capability; or

8. record of compliance with all federal, state, and local laws, rules, licensing requirements, where applicable, and executive orders, including but not limited to compliance with existing labor standards and prevailing wage laws.

Whenever any contract is awarded on the basis of best value instead of lowest responsible bidder, the basis for determining best value and the final calculations used shall be thoroughly and accurately documented and made part of the procurement record.

Section 3. PIGGYBACKING

Saratoga County, at its discretion and following the guidelines set forth in General Municipal Law § 103, may procure goods (including apparatus, materials, equipment and supplies) and services by "piggy backing" through contracts let by the United States, or any agency thereof, any state or any political subdivision or district therein, if such a contract was let in a manner consistent with competitive bidding or "best value" methodology and made available for use by other government agencies. This may include, but not limited to, contracts let by other counties, states, national cooperative contracts, contracts let by the federal government through the General Services Administration (GSA) made available for use to county government, for example Schedule 70 (IT related purchases), Schedule 84 (Law Enforcement purchase), and other purchases related to Disaster Recovery.

Section 4. SOLE SOURCE PROCUREMENT

Sole source procurement is an exception to the general rules and policies stated herein governing the procurement of goods and/or services. Sole source procurement may only be used in those rare cases where the goods or services sought and required are manufactured, sold or performed by only one entity and/or individual. Generally, this will only apply in the following situations:

1. Only one company makes and sells a certain good or provides a certain service.
2. Only one company can service or maintain the equipment without voiding the warranty. (Note: This only applies during the warranty period. The sole source exemption is not available after the warranty expiration. After warranty expiration, repairs and maintenance must be bid.)
3. The County is leasing equipment like postal machines or copiers that have a certain type of consumable component (e.g. ink cartridges) that must be used to avoid breaching a warranty or maintenance provision of a lease.
4. It is a service performed by companies that traditionally have territories (e.g. cable TV or certain types of equipment dealerships).
5. Software, software licensing (if such license was registered through a particular vendor with the manufacturer to facilitate license renewals, software updates, etc.), maintenance, and/or installation contracts specific to the software being purchased, inclusive of upgrades or improvements to existing software systems.

In determining whether a purchase qualifies for a Sole Source exemption, the procuring department must document, at a minimum:

1. The unique benefits to the County of the product or service as compared to the other products or services available in the marketplace;
2. That no other product or service provides substantially equivalent or similar benefits;
3. That considering the benefits received, the cost of the product or service is reasonable in comparison to other products or services in the marketplace; and
4. That there is no possibility of competition from competing dealers or distributors.

No Sole Source purchase will be approved by the Director of Purchasing without written justification from the Requesting Department responding to points (1) through (4) above and supporting documentation on the letterhead of the entity providing the goods, equipment, commodity or service that they are the sole source. *For subsequent purchases the department should obtain an updated Sole Source letter from the vendor.*

Section 5. EMERGENCY PROCUREMENT

General Municipal Law §103 defines a "public emergency" as "arising out of an accident or other unforeseen occurrence or condition whereby circumstances affecting public buildings, public property or the life, health, safety or property of the inhabitants" of the County require "immediate action which cannot await competitive bidding. Procurement in emergency situations is exempt from competitive bidding. However, when practicable, a Department Head should make every effort to obtain three (3) written quotes for the required goods or services or, if not practicable, three (3) verbal quotes. If it is not practicable to obtain any written or verbal quotes based upon the conditions and needs created by the emergency, then no quotes are necessary. Nevertheless, procurement in emergency circumstances should be justified in writing by the Department Head.

Section 6. STANDARDIZATION

In accordance with General Municipal Law §103(5), in circumstances where there is a need for reasons of efficiency or economy to standardize a particular type or kind of equipment, material or supplies, the Board of Supervisors may adopt a resolution declaring the particular equipment, material or supplies as the standard to be used in the County's purchase contract for reasons of efficiency and economy. Such resolution shall contain a full explanation of the reasons for its adoption. Thereafter, the Director of Purchasing shall award a purchase order for the standardized equipment, material or supplies to the lowest responsible bidder.

Section 7. PREFERRED SOURCE

When required pursuant to the provisions of State Finance Law §162, the County shall make purchases of goods and services from preferred sources named in State Finance Law §162, as it may be amended from time to time. Prices may not exceed fifteen per cent (15%) above the prevailing market prices among responsive and responsible offers for the same or equivalent commodities or services. This preferred source exception shall not apply to emergency situation or the procurement of professional services.

Section 8. TRUE LEASE

A true lease is defined as a lease of equipment without the option to purchase. As true leases are exempt from competitive bidding requirements the County shall follow the minimum required quotes as listed for a commodity purchase, unless the proposed lease is the result of a State Contract, National Cooperative Contract, or other contract that has been competitively bid. The total annual cost of the lease will be used to determine the award. For the purpose of this provision, leases should be closed-end and mandatory turn-in at the end of the lease.

Section 9. RESPONSIBILITY DETERMINATIONS

The Director of Purchasing must determine that any bidder awarded a contract pursuant to Municipal Law §I03 is responsible and responsive. At the discretion of the Director of Purchasing, responsibility determinations may be made with regard to vendors, consultants or contractors under all other types of solicitations. Responsible bidders or offerors are those that have the financial ability, legal capacity, integrity and past experience to perform the contract. *See State Finance Law §163(c)*. Responsive bidders or offerors are those that meet the minimum specifications and requirements set forth in the solicitation for procurement. *See State Finance Law §163(d)*. Bidders or offerors who do not meet either or both of these standards may be declared non-responsible. Before declaring a bidder or offeror non-responsible, the Director of Purchasing, in consultation with the County Attorney, must provide the bidder or offeror notice that he or she may be declared non-responsible, and provide the bidder or offeror an opportunity to be heard, which need not be a formal hearing. *Department Heads shall regularly review and document vendor performance.*

Section 10. PROCUREMENT THROUGH STATE CONTRACT

The procurement of commodities, materials, equipment, technology, food products, supplies and services through the New York State Office of General Services pursuant to General Municipal Law §104 shall be exempt from the competitive bidding requirements set forth in General Municipal Law §103 and these Purchasing Procedures.

Section 11. ACCEPTANCE OF ELECTRONIC BIDS

The County of Saratoga shall allow Bidders to submit bids electronically, when appropriate, pursuant to the dictates of General Municipal Law § 103 as amended by L 2003, ch 62, Part X, §§ 4,5 and the Rules and Regulations governing such bids (including 9 NYCRR §540). Electronic bidders are presumed to understand and comply with their obligations pursuant to these laws and regulations as amended.

Bids and offers submitted in an electronic format shall be transmitted by bidders and offerers to the receiving device designated by the County. Any method used to receive electronic bids and offers shall comply with Article Three of the State technology law, and any rules regulations, and guidelines developed thereunder and, at a minimum, must (a) document the time and date of receipt of each bid and offer received electronically; (b) authenticate the identity of the sender; (c) ensure the security of the information transmitted; and (d) ensure the confidentiality of the bid or offer until the time and date established for the opening of bids or offers.

The County shall not be held responsible for any problems caused by the receiving device that interrupt, delay or prevent receipt of such electronic bid in a timely fashion or by a failure of the electronic bidder to meet its obligations under Federal, State or local law.

To ensure receipt of an electronic bid, bidders are strongly advised to confirm receipt by the Department of Purchasing.

For the purposes of electronic bids, the County will accept electronic signatures on submissions.

Section 13. EXCEPTIONS TO PURCHASE ORDER REQUIREMENT

The following items do not require a Requisition or Purchase Order; however, one can be completed at the request of the department or vendor. Purchases should not be artificially split to avoid the issuance of a Purchase Order:

- Books, periodicals, postage, utilities, and dues.
- Central Store Office Supplies are ordered through the Financial System Inventory Module. Special Order Office Supplies (those items not available through the inventory module) requires a Special Order Request Form; see Chapter 2 Section D).
- Travel expenses incurred in accordance with the County's Travel and Discretionary Funds Policy (Chapter 4, Section V).
- Insurance (quotes are processed by the Human Resources & Insurance

Committee).

- Repairs, including labor and/or parts, provided such repair was immediate in nature.
- Purchases totaling less than \$750.00 from a single vendor, on a single day, except for the following: office furniture, equipment and furnishings, IT related equipment, and items found on a Saratoga County bid.
- Reproduction Items (all printing jobs will be processed through the Printing Department see Chapter 2 Section E).
- Service/Rental Agreements (see Chapter 2, Section H).
- Subscriptions, including periodicals, online legal research services.
- Software updates, support, *maintenance*, and licensing renewals anticipated in the original purchase with the approval of the IT Department.