

**STEBEN COUNTY LAND BANK CORPORATION
PROCUREMENT/ FINANCIAL / BUDGET POLICY**

Section 1—Purpose and Authority

1.1 The purpose of this document is to outline the Procurement Policy (“Policy) of the Steuben County Land Bank Corporation (hereinafter referred to as the “SCLBC”).

1.2 The provisions in this Policy shall apply to the procurement of goods and services paid for by the SCLBC for its own use and in accordance with New York Public Authorities Law section 2824(1)(d).

1.3 The primary objectives of this Policy are to assure the prudent and economical use of public monies in the best interests of the SCLBC, to facilitate the acquisition of goods and services of maximum quality at the lowest possible cost under the circumstances and to guard against favoritism, improvidence, extravagance, fraud and corruption.

Section 2—Procedures

2.1 The SCLBC may, in its discretion, assign contracts for supervision and coordination to the successful bidder or proposer for any subdivision of work. Contracts awarded by the SCLBC shall contain such other terms and conditions as the SCLBC may deem desirable.

2.2 Solicitation Procedures for the Purchase of Commodities, Equipment, Goods or Construction, Demolition, Renovation and Reconstruction Services.

a. Up to \$5,000 per instance – The discretion of the SCLBC Treasurer or authorized designee.

b. Greater than \$5,000 to \$10,000 per instance – Documented verbal quotations or written / fax / email quotations from at least three vendors and reported to the SCLBC Board of Directors.

c. Greater than \$10,000 per instance – At least three (3) written quotations shall be required and any contract entered into by the SCLBC shall be approved by resolution of the Board of Directors. Bid award to the lowest bidder who, in the opinion of the Board, is qualified to perform the work required and who is responsible and reliable.

Section 3—Exceptions Alternative proposals or quotations shall not be required for procurements made through or with respect to:

3.1 New York State, Steuben County or participating Municipality Contracts – when the SCLBC is able to procure commodities, equipment, goods or services through New York State, Steuben County, or participating Municipality contracts, it is unnecessary to obtain quotations or bids.

3.2. Emergency Procurements – an emergency exists if the delay caused by soliciting quotes would endanger health, welfare, property or development opportunity. Approval of the Chairperson of the SCLBC is necessary, which shall be documented and shall also include a description of the facts giving rise to the emergency;

3.3 Sole Source Procurements – A “sole source” means a situation where (i) there is only one possible source from which to produce goods and/or services available in the marketplace, (ii) no other goods and/or services provide substantially equivalent or similar benefits, and (iii) considering the benefits, the cost to the SCLBC is reasonable;

3.4 Utilities and Affiliate Transactions – The purchase of utilities and inter-affiliate transactions are exempted from alternative proposal/quotation requirements;

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3.5 Unavailability of three (3) vendors who are able or willing to provide a quote.

Section 4—Basis for the Award of Contracts

4.1. Contracts will be awarded to the lowest responsible dollar offeror who meets the specifications therefor, except in circumstances that the SCLBC determines justify an award to other than the lowest responsible dollar offeror. The SCLBC may reject any or all bids or waive any informality in a bid if it believes that the public interest will be promoted thereby. The SCLBC may reject any bid, if, in its judgment, the business and technical organization, plant, resources, financial standing, or experience of the bidder justifies such rejection in view of the work to be performed. [NY N-PCL 1617]. In making any such determination, the SCLBC shall consider relevant factors including, without limitation:

- a.** Delivery requirements
- b.** Quality requirements
- c.** Quantity requirements
- d.** Past vendor performance and/or experience
- e.** The unavailability of three or more vendors who are able or willing to quote on procurement.
- f.** It may be in the best interests of the Corporation to consider only one vendor who has previous expertise with respect to a particular procurement.
- g.** Any procurement exempted from the alternative proposal/quotation requirements as set forth herein, and the procurement of professional services as set forth in this policy.

Section 5—Documentation

5.1 A record of all solicitations for alternative proposals or quotations, the response (if applicable), and any determinations pursuant thereto shall be maintained in the procurement file.

5.2 For each procurement by the SCLBC, the SCLBC Treasurer shall set forth in writing the category of procurement that is being made and what method of procurement is specified.

5.3 Whenever an award is made to other than the lowest responsible dollar offeror the reasons for doing so shall be set forth in writing and maintained in the procurement file.

5.4 Whenever the specified number of quotations cannot or will not be secured, the reasons for this shall be indicated in writing and maintained in the procurement file.

Section 6—Minority & Women Owned Enterprises

6.1 It is the preference of the SCLBC to provide opportunities for the purchase of goods and services from (i) business enterprises located in Steuben County and (ii) certified minority and/or women-owned business enterprises. To that end, the SCLBC will utilize available lists of MBE/WBE firms certified by Steuben County and/or the State of New York and will solicit quotes and proposals from such businesses by notifying them of opportunities to submit proposals and quotes for goods and services.

Section 7—Effect on Other Procurement Requirements

7.1 Where the procurement of a specific good or service is to be accomplished using funds other than the funds of the SCLBC and such funding sources specify different or more restrictive procurement requirements than are provided for in this Policy, the procurement requirements of the funding source will supersede the requirements of this Policy.

Section 8—Professional Services

8.1. Contracts for professional services involve the application of specialized expertise, the use of professional judgment, or a high degree of creativity. Professional services include services which require special education and/or training, license to practice or are creative in nature. Examples include but are not limited to lawyers, accountants, and engineers. Furthermore, professional service contracts often involve a relationship of personal trust and confidence.

8.2 Selection of a provider of Professional Services up to \$10,000 per instance shall be at the discretion of the SCLBC Treasurer, Chairperson of the SCLBC, or authorized designee. In the selection of a provider of Professional Services which exceed \$10,000 the SCLBC shall issue a request for proposals. The SCLBC may exercise its discretion and apply its judgment with respect to any aspect of the RFP, the evaluation of proposals, and the negotiations and award of any contract. The SCLBC may enter into an agreement for only portions (or not to enter into an agreement for any) of the services contemplated by the proposals with one or more of the proposers. The SCLBC may select the proposal that best satisfies the interests of the SCLBC and not necessarily on the basis of price or any other single factor. The SCLBC reserves the right to weigh its evaluation criteria in any manner it deems appropriate.

Section 9—Procurement of Insurance

9.1 Procurement of Insurance Brokerage services is subject to this Policy as a professional service. Notwithstanding the foregoing actual insurance policies procured are not subject to requirements of this Policy.

Section 10—Unintentional Failure to Comply

10.1 The unintentional failure to comply with the provisions of this policy shall not be grounds to void action taken or give rise to a cause of action against the SCLBC or any officer thereof.

Section 11—Budget Transfers

- 11.1**
- a.** Up to \$5,000 per transfer – Approval of the SCLBC Treasurer is required.
 - b.** Greater than \$5,000 to \$10,000 per transfer – Approval of the SCLBC Treasurer and the SCLBC Chairperson is required.
 - c.** Greater than \$10,000 per transfer – Approval of the SCLBC Treasurer, the SCLBC Chairperson, and SCLBC Board of Directors is required.

Section 12—Annual Budget Process

12.1 Each year the Executive Director shall present a budget to the SCLBC Board for consideration not more than 90 days and no less than 60 days before the start of the fiscal year. Typically, this will occur after October 1, but prior to November 1, as the fiscal year begins on January 1 each year.

12.2 The Budget Report shall include budget information for the prior year, current year, subsequent year, and project three years into the future. The Treasurer shall then submit the budget report to the NYS Authorities Budget Office via the Public Authorities Reporting Information System (PARIS) during the same timeframe mentioned above.