



AGENDA

Legislative Monthly Meeting for April 18, 2013 at 4:30PM

Call to Order

Pledge of Allegiance

Roll Call of Legislators

Presentation:

ASALH

Communications

Public Comment

Resolutions:

1. Reappoint Baumander and Seibert to the Sullivan County Public Health Services' Health Services Advisory Board
2. Appoint three Deputy EMS coordinators in the Bureau of Emergency Medical Services
3. Create four per diem Transportation Driver positions
4. Modify the 2013 County Budget
5. Authorize agreements with Municipalities for participation in the County's 2013 Cleanup Initiative
6. Close Capital Project Accounts
7. Support NYS Legislation S2000/A1715 to Amend the Mental Hygiene Law requiring video cameras in facilities operated by the Office for People with Developmental Disabilities
8. Provide for oversight by the County's Youth Bureau and for data collection and performance measures with respect to the county funding of organizations working with youth
9. Authorize contract with Sullivan County Soil & Water Conservation
10. Authorize contract with Pepsi Cola of the Hudson Valley for vending machine concession
11. Authorize contract with Private Flight Maintenance for the Fixed Base Operator at SCIA
12. Authorize contract with Steven Silverman for psychologist services
13. Authorize contract with NTS Data Services, LLC to support Board of Elections software system
14. Authorize contract with POMCO Group as Third Party Administrator for Workers' Compensation
15. Authorize software license agreement with SigmaCare
16. Authorize sub grantee agreement with rural Sullivan Housing Corporation
17. Authorize IMA with the Village of Monticello for the East Broadway Reconstruction Project
18. Reserve certain lands from Tax Foreclosure parcel for public use
19. Authorize the retention of a consultant with respect to the purchase of pharmaceuticals
20. Authorize settlement agreement with Local 445, International Brotherhood of Teamsters
21. Provide oversight by the County's Division of Public Safety for Administration and Data collection with respect to the County funding of the Creative Think Tank, Inc.

22. Authorize the selection of consultants for engineering services needed for locally administered federal aid project and other bridge and highway projects
23. Correct the 2013 Tax Roll FA 28.-1-50./7801 to Tajarstein
24. Execute agreements with New York and other state or commonweath approved foster care related service providers (needs to be untabled)
25. Adopt an Investment Policy and a Debt Management Policy for Sullivan County (needs to be untabled)

Recognition of Legislators
Announcements from Chair
Adjournment or Close

**RESOLUTION NO. INTRODUCED BY HEALTH AND FAMILY SERVICES
COMMITTEE TO REAPPOINT TWO MEMBERS TO THE SULLIVAN COUNTY
PUBLIC HEALTH SERVICES' HEALTH SERVICES ADVISORY BOARD**

WHEREAS, Section 357 of the Public Health Law mandates that two members of the Health Services Advisory Board (HSAB) be licensed physicians, with the remaining seven to be known as public members selected on the basis of their interest and knowledge regarding health needs, resources and facilities of the community, and

WHEREAS, pursuant to Section 357 of the Public Health Law, Health Services Advisory Board members shall have fixed terms of four years, which shall be deemed to run from the first day of the year in which the appointment was made, and

WHEREAS, pursuant to Section 357 of the Public Health Law, Health Services Advisory Board members may not serve for more than two terms consecutively.

NOW, THEREFORE, BE IT RESOLVED, that the individuals listed below be reappointed to the Health Services Advisory Board for a second four-year term (1/1/2013-12/31/2016) per Public Health Law:

Lisa Baumander, R Ph
c/o The Medicine Shoppe
1987 State Route 52, Suite 3
Liberty, New York 12754

Katherine Seibert, MD
Box 84
Mongaup Valley, NY 12762

**Moved by
Seconded by
and declared duly adopted on motion**

RESOLUTION NO. INTRODUCED BY PUBLIC SAFETY AND LAW ENFORCEMENT COMMITTEE TO APPOINT THREE (3) DEPUTY EMS COORDINATORS IN THE BUREAU OF EMERGENCY MEDICAL SERVICES

WHEREAS, the Sullivan County Legislature has created the Sullivan County Bureau of Emergency Medical Services on May 4, 2006 and,

WHEREAS, the Bureau is composed of an Emergency Medical Service Coordinator and Deputy Coordinators, and

WHEREAS, these Deputy EMS Coordinator Positions are currently vacant, and

BE IT FURTHER RESOLVED, that the Sullivan County Legislature hereby appoints the following persons to fill these positions effective immediately.

Ann Steimle – Lumberland Fire Department EMS

Rob Carnell – Rock Hill Volunteer Ambulance Corps

Joel Sherwood – Livingston Manor Volunteer Ambulance Corps

Resolution No. _____

RESOLUTION INTRODUCED BY PUBLIC WORKS COMMITTEE

RESOLUTION TO AUTHORIZE THE CREATION OF FOUR (4) PER DIEM DRIVER POSITIONS IN THE TRANSPORTATION DEPARTMENT

WHEREAS, the Sullivan County Transportation Department is in need of additional drivers to help fill-in for vacation, sick days and call-outs; and

WHEREAS, creating these per diem driver positions will help alleviate the need to mandate staff and save on overtime.

NOW, THEREFORE, BE IT RESOLVED, that the Sullivan County Legislature hereby authorizes the creation of four (4) per diem driver positions within the Transportation Department.

Moved by _____,
Seconded by _____,
and adopted on motion _____, 2013.

**RESOLUTION NO. INTRODUCED BY MANAGEMENT AND BUDGET
COMMITTEE TO MODIFY THE 2013 COUNTY BUDGET**

WHEREAS, the County of Sullivan 2013 Budget requires modification,

NOW, THEREFORE, BE IT RESOLVED, that the attached budgetary transfers be authorized.

Moved by:

Seconded by:

April 2013
 Modifications to the 2013 Sullivan County Budget

Account Code	Account Description	Revenue Increase	Revenue Decrease	Appropriation Increase	Appropriation Decrease
A-1010-42-4204	OFFICE POSTAGE			60	60
A-1010-46-4610	MISC SERV/EXP EMPL NOTARY/CERTIFICATION			60	
A-1165-47-4706	DEPT SPECL INVESTIGATIONS			55	55
A-1165-47-4732	DEPT BLDG/PROP ELECTRONIC MONITORING			55	
A-1325-14-43-4311	COMPUTER WEBINAR AND RELATED EXPENSES			99	
A-1325-14-47-4710	DEPT DEPT MISC/OTHER				99
A-1410-10-47-4702	DEPT EQUIP SERVICE/REPAIRS				1,500
A-1410-10-47-4717	DEPT BLDG/PROP REPAIRS			1,500	
A-1420-41-4103	AUTO/TRAVEL MEALS			50	
A-1420-41-4103	AUTO/TRAVEL MEALS			50	
A-1420-41-4104	AUTO/TRAVEL MILEAGE/TOLLS				50
A-1420-46-4609	MISC SERV/EXP SPECIAL SERV/OTHER			700	
A-1420-46-4609	MISC SERV/EXP SPECIAL SERV/OTHER			3,100	
A-1430-42-4201	OFFICE ADVERTISING			20,000	
A-1620-24-45-4526	SPEC DEPT SUPPLY PAINT			600	
A-1620-24-47-4717	DEPT BLDG/PROP REPAIRS				600
A-1620-27-45-4549	SPEC DEPT SUPPLY SAFETY			530	
A-1620-27-47-4717	DEPT BLDG/PROP REPAIRS				530
A-1680-47-4702	DEPT EQUIP SERVICE/REPAIRS				2,000
A-1680-47-4717	DEPT BLDG/PROP REPAIRS			2,000	
A-3010-45-4506	SPEC DEPT SUPPLY PUBLIC SAFETY			350	
A-3010-R4389-R188	FED AID PUBLIC SAFETY EMERGENCY MANAGMNT		350		
A-3020-44-4406	UTILITY WIRELESS COMMUNICATIONS			3,300	
A-3020-47-4702	DEPT EQUIP SERVICE/REPAIRS				3,300
A-3110-29-41-4105	AUTO/TRAVEL REGISTRATION FEES				2,900
A-3110-29-45-4506	SPEC DEPT SUPPLY PUBLIC SAFETY				750
A-3110-29-45-4541	SPEC DEPT SUPPLY TOOLS			750	
A-3110-29-46-4612	MISC SERV/EXP EMPL TRAINING				2,900
A-3110-29-47-4724	DEPT DRUG FORFEITURE PROCEEDS NYS			2,000	
A-3110-29-R2626-R247	FORFEITR CRIME PROCDs MISC FEE/REIMBURSMNT		2,000		
A-3140-16-41-4103	AUTO/TRAVEL MEALS			150	
A-3140-16-45-4507	SPEC DEPT SUPPLY MEDICAL/CLINICAL				54
A-3140-16-45-4507	SPEC DEPT SUPPLY MEDICAL/CLINICAL				25

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April 2013
 Modifications to the 2013 Sullivan County Budget

Account Code	Account Description	Revenue Increase	Revenue Decrease	Appropriation Increase	Appropriation Decrease
A-3140-16-45-4507	SPEC DEPT SUPPLY MEDICAL/CLINICAL				150
A-3140-16-45-4507	SPEC DEPT SUPPLY MEDICAL/CLINICAL				25
A-3140-17-47-4703	DEPT DUES			25	
A-3140-17-47-4708	DEPT INSURANCE			54	
A-3140-18-47-4703	DEPT DUES			25	
A-3150-21-2106	FIXED ELECTRONIC/COMPUTER EQUIP			5,500	
A-3150-42-4207	OFFICE FURNITURE			250	
A-3150-45-4541	SPEC DEPT SUPPLY TOOLS			800	
A-3150-45-4543	SPEC DEPT SUPPLY FOOD				6,550
A-3410-45-4506	SPEC DEPT SUPPLY PUBLIC SAFETY				443
A-3410-45-4541	SPEC DEPT SUPPLY TOOLS			443	
A-4010-44-45-4501	SPEC DEPT SUPPLY SPEC DEPT SUPPLY MISC/OTHER			1,000	
A-4010-44-45-4509	SPEC DEPT SUPPLY PATIENT EDUCATNL MATERIAL				1,000
A-4010-44-45-4541	SPEC DEPT SUPPLY TOOLS			5,000	
A-4010-44-47-4774	DEPT PUBLIC HEALTH EDUCATION				5,000
A-5610-41-4102	AUTO/TRAVEL LODGING			185	
A-5610-41-4105	AUTO/TRAVEL REGISTRATION FEES				185
A-5610-43-4301	COMPUTER SUPPLIES			125	
A-5610-45-4541	SPEC DEPT SUPPLY TOOLS			175	
A-5610-45-4541	SPEC DEPT SUPPLY TOOLS			50	
A-5610-47-4717	DEPT BLDG/PROP REPAIRS				50
A-5610-47-4717	DEPT BLDG/PROP REPAIRS				300
A-6510-41-4103	AUTO/TRAVEL MEALS			60	
A-6510-46-4610	MISC SERV/EXP EMPL NOTARY/CERTIFICATION				60
A-6610-42-4205	OFFICE PRINTING			250	
A-6610-45-4501	SPEC DEPT SUPPLY SPEC DEPT SUPPLY MISC/OTHER				250
A-8020-90-41-4105	AUTO/TRAVEL REGISTRATION FEES			35	
A-8020-90-41-4105	AUTO/TRAVEL REGISTRATION FEES			35	
A-8020-90-47-4763	DEPT NEW INITIATIVES				35
A-8020-90-47-4763	DEPT NEW INITIATIVES				35
A-8040-42-4201	OFFICE ADVERTISING			700	
A-8040-42-4203	OFFICE OFFICE SUPPLIES				20
A-8040-42-4203	OFFICE OFFICE SUPPLIES			300	

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April 2013
 Modifications to the 2013 Sullivan County Budget

Account Code	Account Description	Revenue Increase	Revenue Decrease	Appropriation Increase	Appropriation Decrease
A-8040-47-4701	DEPT RENTALS			20	
A-8040-R3089-R167	ST AID GEN GOV DEPARTMENTAL AID	1,000			
A-9999-R2690-R289	COMPENSATN FOR LOSS RESTITUTION	23,150			
A-9999-R2770-R247	MISC REVENUE MISC FEE/REIMBURSMNT	700			
	GENERAL FUND TOTALS	27,200	0	53,226	26,026
D-5110-46-45-4525	SPEC DEPT SUPPLY FORM MATERIAL				500
D-5110-46-45-4541	SPEC DEPT SUPPLY TOOLS			500	
	COUNTY ROAD FUND TOTALS	0	0	500	500
DM-5130-48-41-4104	AUTO TRAVEL MILEAGE/TOLLS			30	
DM-5130-48-42-4206	OFFICE PUBLICATIONS			20	
DM-5130-48-45-4540	SPEC DEPT SUPPLY PARTS/FLUIDS/FILTERS				50
DM-5130-48-45-4540	SPEC DEPT SUPPLY PARTS/FLUIDS/FILTERS				1,000
DM-5130-48-47-4717	DEPT BLDG/PROP REPAIRS			1,000	
	ROAD MACHINERY FUND TOTALS	0	0	1,050	1,050

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RESOLUTION INTRODUCED BY PUBLIC WORKS COMMITTEE

RESOLUTION TO AUTHORIZE THE EXECUTION OF AGREEMENTS WITH MUNICIPALITIES FOR PARTICIPATION IN THE COUNTY'S 2013 CLEANUP INITIATIVE

WHEREAS, the County remains committed to continuing its municipal cleanup initiative in 2013; and

WHEREAS, an annual no cost cleanup tonnage has been allocated by the County of Sullivan to each municipality in accordance with the attached Schedule A; and

WHEREAS, the cost for any and all cleanup tonnage in excess of that indicated in Schedule A shall be charged to those municipalities exceeding their respective tonnage allocation.

NOW, THEREFORE, BE IT RESOLVED, that the County of Sullivan hereby provides a tonnage allocation, set forth in Schedule A, at no charge to its municipalities in accordance with same; and

BE IT FURTHER RESOLVED, that each municipality shall be solely responsible for all disposal costs for cleanup tonnage in excess of their respective allocation at a disposal fee of \$76.00 per ton at the Monticello Transfer Station; and

BE IT FURTHER RESOLVED, that the County Manager is hereby authorized to execute agreements with the participating municipalities said agreements shall be in a form approved by the County Attorney.

Moved by _____,
Seconded by _____,
and adopted on motion _____, 2013.



**COUNTY OF SULLIVAN
DIVISION OF PUBLIC WORKS
SULLIVAN COUNTY GOVERNMENT CENTER
100 NORTH STREET
PO BOX 5012
MONTICELLO, NY 12701**

**SCHEDULE "A"
SULLIVAN COUNTY MUNICIPAL CLEANUP
ALLOCATION 2013**

TOWN	ALLOCATED TONNAGE (Total for both events)
Bethel	82.50
Callicoon	49.00
Cochecton	10.50
Delaware	14.50
Fallsburg	80.50
Forestburgh	15.50
Fremont	5.50
Highland	11.50
Liberty	48.00
Lumberland	7.00
Mamakating	52.50
Neversink	76.50
Rockland	34.50
Thompson	77.50
Tusten	5.00
VILLAGE	
Bloomington	5.00
Jeffersonville	1.50
Liberty	31.50
Monticello	65.00
Woodridge	5.00
Wurtsboro	21.00
TOTAL	700.00

5A

RESOLUTION INTRODUCED BY MANAGEMENT AND BUDGET COMMITTEE TO CLOSE CAPITAL PROJECT ACCOUNTS

WHEREAS, the Commissioner of Management and Budget, and the Deputy Commissioner of Public Works, and the County Treasurer have advised that the following project previously funded through Bond Issue and Grant Funding have been completed, and

WHEREAS, fund balances exists in the capital accounts.

NOW, THEREFORE, BE IT RESOLVED, that the following project be closed and the remaining balances be transferred to the appropriate fund:

- H02 Snowmobile Trail
- H15 SCCC Seelig SUNY Grant
- H43 DPW Equipment 08
- H46 Jail Facility – Land Purchase
- H47 Sheriff Patrol Facility
- H48 2010 Road Construction

Moved by _____,
Seconded by _____,

RESOLUTION NO. ___-13 INTRODUCED BY PUBLIC SAFETY AND LAW ENFORCEMENT COMMITTEE SUPPORTING NEW YORK STATE LEGISLATION S2000/A1715 TO AMEND THE MENTAL HYGIENE LAW, IN RELATION TO REQUIRING VIDEO CAMERAS IN FACILITIES OPERATED BY THE OFFICE FOR PEOPLE WITH DEVELOPMENTAL DISABILITIES

WHEREAS, there are identical bills that have been introduced in the New York State Legislature, Senate Bill S2000 and Assembly Bill A1715 that would amend Section 13.25 of the Mental Hygiene Law by adding a new subdivision (c) to read: facilities operated by the Office for People with Developmental Disabilities, including group homes, residential homes, inpatient facilities and all other facilities under this title shall install video cameras at all entrances and exits. The commissioner, in consultation with the state police, shall develop a system for maintaining such recorded images.

NOW THEREFORE, BE IT RESOLVED, that the Sullivan County Legislature hereby proclaims its support of Senate Bill S2000 and Assembly Bill A1715.

BE IT FURTHER RESOLVED, that the Clerk of the Sullivan County Legislature is hereby directed to transmit a certified copy of this resolution to the Honorable Andrew M. Cuomo, Governor of the Great State of New York; Honorable John J. Bonacic, State Senator representing the 42nd Senatorial District, the Honorable Aileen M. Gunther, Assemblywoman representing the 100th Assembly District, 101st Assembly District Claudia Tenney, the New York State Legislature's Ways and Means Committees; the Honorable Dean Skelos, Majority Leader of the Senate; the Honorable Sheldon Silver, Speaker of the General Assembly; and the New York State Association of Counties (NYSAC).

Moved by
Seconded by _____, put to a vote and unanimously carried and declared duly adopted on motion _____, 2013.

RESOLUTION NO. ____ -13 INTRODUCED BY GOVERNMENT SERVICES COMMITTEE TO PROVIDE FOR OVERSIGHT BY THE COUNTY'S YOUTH BUREAU AND FOR DATA COLLECTION AND PERFORMANCE MEASURES WITH RESPECT TO THE COUNTY FUNDING OF ORGANIZATIONS WORKING WITH YOUTH

WHEREAS, Sullivan County provides financial, assistance on an annual basis, to a number of organizations which provide programs and services for youth in Sullivan County, and

WHEREAS, in the past such amounts have been budgeted based on direct requests to the County Legislature by such organizations and have been paid to such organizations without any provision for a schedule of services, oversight or performance review by the County's Youth Bureau, and

WHEREAS, the Sullivan County Legislature believes it would be in the best interests of our County's youth, and consistent with proper management, for the County's Youth Bureau to have general oversight and review authority with respect to such funding so as to eliminate possible duplication of efforts and ensure that such funding is achieving the best possible results for the County's youth.

NOW THEREFORE BE IT RESOLVED:

1. The Sullivan County Youth Bureau shall enter into contractual agreements with the, the YMCA, and all other entities receiving funding from the County for the purpose of providing assistance, programs and services for youth, except for the Boys and Girls Club, and Creative Think Tank, Inc.
2. Such agreements shall provide for a schedule of services to be performed by the recipient of the funds and for such data collection and reportable performance measures with respect to the activities and expenses of each such entity as the Youth Bureau shall deem appropriate. Compliance information with the schedule of services and related data and performance reports shall be submitted by each entity to the Youth Bureau on a quarterly basis or on a seasonal/program basis as appropriate in the judgment of the Youth Bureau.
3. In any program which does not have a state requirement for youth board involvement the Director of the Youth Bureau will directly oversee such programs without Youth Board involvement.
4. The 2013 budgeted funding, to the extent not already paid, shall not be paid to any such entity until the entity has entered into an agreement with the Youth Bureau.
5. With respect to the County's budgets for 2014 and beyond, it is the intention of the Sullivan County Legislature that any future requests for funding or financial support of such entities except for the Boys & Girls Clubs and the Creative Think Tank, Inc. be submitted to the Legislature through the Youth Bureau and that any such submission be accompanied by an evaluation of the request by the Youth Bureau based on its experience with the past performance of such entity, or, in the case of a new entity, demonstrated capacity and commitment to achieve a desirable result for the County's youth.

Moved by _____ ,

Seconded by _____ ,

and adopted on motion _____ , 2013

RESOLUTION INTRODUCED BY PUBLIC WORKS COMMITTEE

RESOLUTION TO AUTHORIZE EXECUTION OF THE 2013 ANNUAL CONTRACT BETWEEN THE COUNTY OF SULLIVAN AND SULLIVAN COUNTY SOIL & WATER CONSERVATION

WHEREAS, the County of Sullivan contracts with various agencies for services; and

WHEREAS, the annual contract with this agency needs to be renewed for 2013 to assure continued delivery of service and payments.

NOW, THEREFORE, BE IT RESOLVED, that the County Manager be authorized to execute the 2013 annual contract at the following maximum funding level for the period January 1, 2013 through December 31, 2013:

1. **SULLIVAN COUNTY SOIL & WATER CONSERVATION** – maximum amount \$158,828.

BE IT FURTHER RESOLVED, that the form of such annual contract be approved by the County Attorney; and

BE IT FURTHER RESOLVED, that compliance with all of the reporting requirements of this resolution and resolution 477-06 shall be a precondition for continued eligibility for funding by the County of Sullivan.

Moved by _____,
Seconded by _____,
and adopted on motion _____, 2013.

Resolution No. _____

RESOLUTION INTRODUCED BY GOVERNMENT SERVICES COMMITTEE

RESOLUTION TO AUTHORIZE AWARD & EXECUTION OF CONTRACT

WHEREAS, bids were received for vending machine concession, and

WHEREAS, Pepsi Cola of the Hudson Valley, One Pepsi Way, Newburgh, New York 12550, is the most responsible bidder for such work, and

WHEREAS, the Government Services Committee recommends that said bid be approved and a contract be executed.

NOW, THEREFORE, BE IT RESOLVED, that the County Manager be and hereby is authorized to execute a contract with Pepsi Cola of the Hudson Valley at a contract price of \$900.00/month, to be paid to the County, and in accordance with Bid #B-13-21, said contract to be in such form as the County Attorney shall approve.

Moved by _____,
Seconded by _____,
and adopted on motion _____, 2013.

**RESOLUTION INTRODUCED BY GOVERNMENT SERVICES COMMITTEE
TO AUTHORIZE AWARD & EXECUTION OF CONTRACT**

WHEREAS, a proposal was received for the Fixed Base Operator at the Sullivan County International Airport, White Lake, NY, and

WHEREAS, the proposal received from Private Flight Maintenance, LLC, is considered the most responsible contractor for such work, and

WHEREAS, the Division of Public Works has approved said proposal and recommends that a lease agreement be executed.

NOW, THEREFORE, BE IT RESOLVED, that the County Manager be and hereby is authorized to execute a five (5) year lease agreement with Private Flight Maintenance, LLC, at a contract price of \$1400.00/month, to be billed quarterly, and fuel flowage fee of \$.12 cents per gallon for use of the County Fuel Farm and equipment, and in accordance with the RFP R-12-26, dated November 20, 2012, said contract to be in such form as the County Attorney shall approve.

Moved by _____,
Seconded by _____,
and adopted on motion _____, 2013.

RESOLUTION INTRODUCED BY GOVERNMENT SERVICES COMMITTEE

RESOLUTION TO AUTHORIZE AWARD & EXECUTION OF CONTRACT

WHEREAS, proposals were received for Psychologist Services for Community Services, and

WHEREAS, the vendor, listed below, will provide said services from April 1, 2013 through March 31, 2014, with an option to extend on a yearly basis, for three (3) additional years, under the same terms and conditions, and

WHEREAS, the Sullivan County Department of Community Services has recommended said vendor.

NOW, THEREFORE, BE IT RESOLVED, that the County Manager be and hereby is authorized to execute contracts as follows:

<u>Vendor</u>	<u>Price/Hour</u>
Steven B. Silverman, Ph.D. 275 Fair Street PO Box 4299 Kingston, New York 12401	\$90.00

and in accordance with RFP R-13-07, contract to be in such form as the County Attorney shall approve.

Moved by _____,
Seconded by _____,
and adopted on motion _____, 2013.

RESOLUTION INTRODUCED BY MANAGEMENT AND BUDGET COMMITTEE TO AUTHORIZE A CONTINUED MAINTENANCE AND SUPPORT AGREEMENT WITH NTS DATA SERVICES, LLC TO SUPPORT SULLIVAN COUNTY BOARD OF ELECTIONS TEAM-SQL VOTER REGISTRATION, SIGN-IT SIGNATURE DIGITIZATION AND IMS INTERFACE MESSAGING SYSTEM SOFTWARE APPLICATIONS TO CONTINUE SUPPORT OF NYS VOTER II INTERFACES.

WHEREAS, the advent of the Statewide Voter Registration database, NYS Voter II, required the creation of a Voter Registration, Signature Digitization and Interface Messaging System interface between the County licensed TEAM application and NYS Voter II; and

WHEREAS, Resolution 214-03 authorized entering into a contract agreement with NTS Data Services, LLC working in contracted tandem with New York State Board of Elections to develop the interface, license it and support it through December 31, 2007; and

WHEREAS, Resolution 73-08 authorized a continued maintenance and support agreement through December 21, 2012; and

WHEREAS, the Sullivan County Board of Elections requires ongoing support and maintenance for the interface to NYS Voter II; and

WHEREAS, the Sullivan County Board of Elections wishes to continue utilizing the systems and services of NTS Data Systems, LLC.

NOW, THEREFORE, BE IT RESOLVED, that the County Manager is authorized to enter into a maintenance and service agreement for Voter Registration, Signature Digitization and the Interface Message System support with NTS Data Services, LLC at a cost not to exceed \$48,800 through December 31, 2014 and payable annually as follows:

2013	\$24,400.00
2014	\$24,400.00

BE IT FURTHER RESOLVED, that said agreement to be in such form as the County Attorney's Office shall approve.

Moved by _____,
Seconded by _____,

Resolution No. _____

RESOLUTION INTRODUCED BY THE MANAGEMENT AND BUDGET COMMITTEE TO CONTRACT WITH POMCO GROUP AS THIRD PARTY ADMINISTRATOR FOR WORKERS' COMPENSATION

WHEREAS, the services of a third party administrator are necessary to effectively and efficiently administer the County's Self-Funded Workers' Compensation Program.

WHEREAS, our current third party administrator has decided to exit the workers' compensation market.

WHEREAS, POMCO's proposal to administer the program was selected through the RFP process to provide services on an annual basis for a period of five years

WHEREAS, POMCO Group has the resources and professional staff to effectively and efficiently administer the program.

NOW, THEREFORE, BE IT RESOLVED, that the County Manager is authorized to sign the contract commencing June 1, 2013 - December 31, 2018 with POMCO Group, at the agreed upon terms and such contract shall be in a form approved by the County Attorney.

Moved by _____,
Seconded by _____,
and adopted on motion _____, 2013.

RESOLUTION INTRODUCED BY MANAGEMENT AND BUDGET COMMITTEE TO AUTHORIZE A SOFTWARE LICENSE EXTENSION AGREEMENT WITH SIGMACARE.

WHEREAS, pursuant to Resolution No. 353-09 adopted by the Sullivan County Legislature on August 20, 2009, the Adult Care Center entered into an agreement with SigmaCare; and

WHEREAS, the license agreement needs to be extended; and

WHEREAS, SigmaCare has agreed to continue its 2009 pricing of \$.05/bed/day at a total monthly cost of \$243.33; and

WHEREAS, the Sullivan County Adult Care Center wishes to continue utilizing the SigmaCare software and recommends extending the license agreement; and

WHEREAS, the extension term shall be July 23, 2012 thru July 22, 2014.

NOW, THEREFORE, BE IT RESOLVED, that the Sullivan County Legislature authorizes the County Manager to execute an extension agreement with SigmaCare as detailed above, said agreement to be in a form approved by the County Attorney's Office.

Moved by _____,
Seconded by _____,
and adopted on motion _____, 2013.

RESOLUTION NO. INTRODUCED BY PLANNING ENVIRONMENTAL MANAGEMENT AND REAL PROPERTY COMMITTEE AUTHORIZING EXECUTION OF A SUB-GRANTEE AGREEMENT WITH RURAL SULLIVAN HOUSING CORPORATION (RSHCO) TO PROVIDE PROGRAM DELIVERY AND ADMINISTRATION FOR SULLIVAN COUNTY'S 2009 NEW YORK STATE HOME GRANT

WHEREAS, pursuant to Resolution 309-09, the County of Sullivan (the "County") accepted a New York State HOME (HOME) grant award from the New York State Division of Housing and Community Renewal's Office of Community Renewal ("OCR") that is being administered by the County's Division Planning and Environmental Management ("DPEM"); and

WHEREAS, the HOME program design stipulated that grant funds be awarded for rental rehab projects not exceeding \$25,000 per each apartment/unit assisted, not including administrative costs, and had budgeted \$370,000 for rehab activities and \$30,000 for program administration, with approximately \$200,000 committed to date; and

WHEREAS, funds remain in this program as unallocated and a request has been made to OCR to revise the program design to allow the inclusion of homeowner rehab projects; and

WHEREAS, OCR has requested that the County send them an official letter indicating specifics of how the County intends on utilizing the remaining unallocated funds. Those specifics include the following: general program design, sub-grantee information (including copy of sub-grantee agreement), ability to commence immediately, ability to complete in a timely manner and a list of eligible applicants; and

WHEREAS, Rural Sullivan Housing Corporation (RSHCO) has experience in administering rehab programs assisting low and moderate-income (LMI) homeowners throughout the County and is a good performer with OCR, and serves as the County's Fair Housing Officer; and

WHEREAS, RSHCO has the capacity to complete the projects within the HOME contract period (September 2013) and maintains a waiting list of more than 40 homeowners who have requested rehab activities eligible under the HOME program.

NOW, THEREFORE, BE IT RESOLVED, that the Sullivan County Legislature hereby authorizes the execution of all necessary documents for a Sub-Grantee Agreement with RSHCO in such form as the County Attorney shall approve; and

BE IT FURTHER RESOLVED, that the modified program activities, where they diverge from the County's original program design and contract, shall be subject to the approval of OCR and shall meet all applicable regulations and guidelines of the 2009 HOME grant contract; and

BE IT FURTHER RESOLVED, that RSHCO shall receive remuneration in an amount not to exceed \$170,000 for rehab activities delivery and \$2,000 per housing unit, for an amount not to exceed \$16,000 for grant administration, unless otherwise agreed to in the Sub-Grantee agreement; and

BE IT FURTHER RESOLVED, that should the funding be terminated, the County shall not be obligated to continue any action undertaken or contemplated to be undertaken for the use of this funding.

RESOLUTION INTRODUCED BY THE PUBLIC WORKS COMMITTEE

RESOLUTION TO AUTHORIZE THE COUNTY MANAGER TO ENTER INTO AN INTER MUNICIPAL AGREEMENT (IMA) WITH THE VILLAGE OF MONTICELLO FOR THE EAST BROADWAY RECONSTRUCTION PROJECT WITHIN THE VILLAGE LIMITS (THE "PROJECT")

WHEREAS, the County has entered into an agreement with the New York State Department of Transportation (NYSDOT) to provide 90% Federal Funding and 7.5% State Marchiselli Program Funding through the State Transportation Improvement Program (STIP) for the Design Phase of the Project as authorized by resolution #358-03 and resolution #49-06; and

WHEREAS, the Village of Monticello requests the assistance of the County to sponsor, provide administration and project management for the Project within the Village limits; and

WHEREAS, the Village of Monticello would be responsible for the local share of the Project costs within the Village Limits; and

WHEREAS, all costs for the Project within the Village limits for consulting engineering and right-of way procurement would be reimbursed to the County by Federal, Marchiselli and Village of Monticello funding.

NOW, THEREFORE, BE IT RESOLVED, that the Sullivan County Legislature authorizes the County Manager to execute an IMA with the Village of Monticello, in such form as the County Attorney will approve for sponsoring and providing administration and management services within the Village limits.

Moved by: _____,

Seconded by: _____,

and adopted on motion: _____, 2013.

RESOLUTION INTRODUCED BY THE PUBLIC WORKS COMMITTEE

RESOLUTION TO AUTHORIZE COUNTY OF SULLIVAN TO RESERVE CERTAIN LANDS FROM TAX FORECLOSURE PARCELS FOR PUBLIC USE

WHEREAS, the Sullivan County Division of Public Works requires certain rights of way for county roads, bridges, parks and emergency communications; and

WHEREAS, pursuant to the Real Property Tax Law, certain tax delinquent parcels were foreclosed upon by the County of Sullivan; and

WHEREAS, tax delinquent parcels foreclosed on by the County of Sullivan can be conveyed to the County of Sullivan for public use pursuant to the Sullivan County Code Section 164-7(C) ; and

WHEREAS, the County desires to reserve unto itself parcels abutting various County infrastructure as enumerated on Schedule "A" below; and;

SCHEDULE "A"

Town	Tax Map ID	Description
LIB	31.-1-9	CB 298
MAM	16.-1-14	D & H Canal
TUS	5.-1-12.3	Public Use

WHEREAS, it is the intent of the County Legislature to cancel the real property taxes due and owing on all of the parcels described above, since the property was transferred to the County for public purposes, and that no real property taxes shall be due and owing on said parcels so long as they remain owned by the County of Sullivan and used for public purposes.

NOW, THEREFORE, BE IT RESOLVED, that the County of Sullivan reserves and retains to the County of Sullivan the above described parcels or such portions thereof as described herein; and

BE IT FURTHER RESOLVED, that the retained portions of said parcels be conveyed from the County of Sullivan to the County of Sullivan for highway purposes or other public use; and

BE IT FURTHER RESOLVED, that the Sullivan County Treasurer is hereby authorized and directed to cancel any outstanding real property taxes that may be due and owing on the above described parcels, and

BE IT FURTHER RESOLVED, the Chairman of the County Legislature is hereby authorized to execute the necessary documents for said conveyance, said documents to be approved by the County Attorney's Office; and

BE IT FURTHER RESOLVED, that said conveyances shall be recorded in the Sullivan County Clerk's Office.

Moved by _____,
Seconded by _____,
and adopted on motion _____, 2013.

RESOLUTION # ____/2013 INTRODUCED BY HEALTH & FAMILY SERVICES COMMITTEE TO AUTHORIZE THE RETENTION OF A CONSULTANT WITH RESPECT TO THE PURCHASE OF PHARMACEUTICALS.

WHEREAS, the County purchases a significant amount of pharmaceuticals which are dispensed at the Adult Care Facility and the jail, and

WHEREAS, the cost of pharmaceuticals varies widely and on day to day basis, and

WHEREAS, in order to ensure that the County is receiving acquiring pharmaceuticals at the lowest possible cost it would be in the best interest of the County to retain a knowledgeable and experienced professional consultant to assist the County in selecting vendors, reviewing purchases and obtaining pharmaceuticals at the lowest possible cost.

NOW THEREFORE BE IT RESOLVED, that the Director of Purchasing shall issue an RFP for the selection of a knowledgeable and experienced professional pharmaceutical consultant to assist the County in selecting vendors, reviewing purchases and obtaining pharmaceuticals at the lowest possible cost.

Moved by _____,

Seconded by _____,

and adopted on motion _____, 2013.

**RESOLUTION NO. INTRODUCED BY THE PERSONNEL COMMITTEE
TO AUTHORIZE THE COUNTY MANAGER TO EXECUTE A SETTLEMENT
AGREEMENT WITH LOCAL 445, INTERNATIONAL BROTHERHOOD OF
TEAMSTERS**

WHEREAS, the Local 445, International Brotherhood of Teamsters (“Teamsters”) requested that two positions be reclassified for alleged out of title work by the employees holding the two positions; and

WHEREAS, as a result of the failure of the Personnel Officer for the County of Sullivan to reclassify said positions, the Teamsters filed an Improper Practice Charge No. U-32260 and Grievance No. 05290; and

WHEREAS, there a conference was scheduled at the New York State Public Employment Relations Board on or about April 19, 2013 in reference to the Improper Practice Charge U-32260 which has been placed on a thirty day hold by mutual consent; and

WHEREAS, the parties have met and wish to resolve this matter without further litigation; and

WHEREAS, due to the confidential nature of this matter, involving personnel issues, the Sullivan County Legislature has been advised of the terms and conditions of the settlement in executive session, and

WHEREAS, it is in the best interests of the County of Sullivan for the County Legislature to ratify said Stipulation of Settlement Agreement.

NOW, THEREFORE, BE IT RESOLVED, by the Sullivan County Legislature that:

1. The Proposed Stipulation of Settlement between the County and Local 445, International Brotherhood of Teamsters as discussed in executive session is hereby ratified.
2. The County Manager is hereby authorized to execute the Stipulation of Settlement with the Local 445, International Brotherhood of Teamsters.

Moved by _____,
Seconded by _____,
and adopted on motion _____, 2013.

RESOLUTION INTRODUCED BY PUBLIC SAFETY AND LAW ENFORCEMENT COMMITTEE TO PROVIDE FOR OVERSIGHT BY THE COUNTY'S DIVISION OF PUBLIC SAFETY FOR ADMINISTRATION AND DATA COLLECTION WITH RESPECT TO THE COUNTY FUNDING OF THE CREATIVE THINK TANK, INC.

WHEREAS, Resolution No. 41-08 originally granted funding to the Creative Think Tank, Inc.'s D.R.E.A.M Tank to address the potential crisis that developed in youth criminal activity, which cannot be solved by the criminal justice system alone; and

WHEREAS, Resolution No. 108-13 authorizes the 2013 Legislative funding to the Creative Think Tank, Inc. in the maximum annual amount of \$33,048; and

WHEREAS, it is prudent public policy to continue to dedicate resources for the D.R.E.A.M. Tank project; and

WHEREAS, the Sullivan County Legislature believes that it is in the best interest to move the Creative Think Tank, Inc. administratively and budgetary under the Division of Public Safety and have a representative of the Creative Think Tank, Inc. report monthly to the Legislative Public Safety and Law Enforcement Committee.

NOW, THEREFORE, BE IT RESOLVED, that the Sullivan County Legislature hereby moves any funds allocated for the Creative Think Tank, Inc. from A-7310-40-4013 to Public Safety Administration Budget A3010.

BE IT FURTHER RESOLVED, that the Creative Think Tank, Inc. will report on a monthly basis to the Public Safety and Law Enforcement Committee.

BE IT FURTHER RESOLVED, that compliance with all of the reporting requirements of this resolution and resolution 477-06 shall be a precondition for continued eligibility for funding by the County of Sullivan.

RESOLUTION INTRODUCED BY PUBLIC WORKS COMMITTEE

RESOLUTION TO AUTHORIZE THE SELECTION OF CONSULTANTS FOR ENGINEERING SERVICES NEEDED FOR LOCALLY ADMINISTERED FEDERAL AID PROJECTS AND OTHER BRIDGE AND HIGHWAY PROJECTS.

WHEREAS, it is a requirement for Locally Administered Federal Aid Project funding, to utilize consultants that are qualified to provide engineering services; and

WHEREAS, the Division of Public Works has completed the review of consultant qualifications and has established a recommended list of consultants through the New York State County Highway Superintendents Association, that has followed the procedures required for Locally Administered Federal Aid Projects; and

WHEREAS, the firms of: AECOM USA Inc., Latham, NY; Barton & Loguidice P.C., Syracuse, NY; C&S Engineers Inc., Binghamton, NY; Delta Engineers, Architects & Land Surveyors, P.C., Endwell, NY and McFarland-Johnson Inc., Binghamton, NY were rated as the top five (5) qualified firms for use by Sullivan County, for bridge and highway projects based upon their qualifications; and

WHEREAS, the Division of Public Works recommends the approval of the use of these five (5) firms for Locally Administered Federal Aid Projects and other highway and bridge projects for the next three (3) years.

NOW, THEREFORE, BE IT RESOLVED, that the Sullivan County Legislature approves the use of the firms of: AECOM USA Inc., Latham, NY; Barton & Loguidice P.C., Syracuse, NY; C&S Engineers Inc., Binghamton, NY; Delta Engineers, Architects & Land Surveyors, P.C., Endwell, NY and McFarland-Johnson Inc., Binghamton, NY for Locally Administered Federal Aid Projects and other highway and bridge projects for the next three (3) year period; and

BE IT FURTHER RESOLVED, that any of the ten (10) other firms on the regional qualified consultant short list established by the New York State County Highway Superintendents Association, may be used if such better serves the interests of the County; and

BE IT FURTHER RESOLVED, that each project associated with the use of these firms obtain the prior approval of the Sullivan County Legislature.

Moved by _____,
Seconded by _____,
and adopted on motion _____, 2013.

**RESOLUTION INTRODUCED BY PLANNING, ENVIRONMENTAL
MANAGEMENT AND REAL PROPERTY COMMITTEE TO
CORRECT THE 2013 TAX ROLL OF THE TOWN OF FALLSBURG
FOR TAX MAP #28.-1-50./7801**

WHEREAS, an application dated March 11, 2013 having been filed by Shlomo Tajerstein with respect to property assessed to said applicant on the 2013 tax roll of the Town of Fallsburg Tax Map #28.-1-50./7801 pursuant to Section 554 of the Real Property Tax Law, to correct a clerical error on said tax roll resulting from the incorrect entry of 88 sewer units on the tax bill which should have been 14 sewer units; and

WHEREAS, the Director of Real Property Tax Services has duly investigated the application and filed her report dated April 2, 2013 recommending this Board approve said application; and

WHEREAS, this Board has duly examined the application and report and does find as follows:

- (a) That the application be approved because of a clerical error

NOW, THEREFORE, BE IT RESOLVED, that the application be approved upon the grounds herein set forth; and

BE IT FURTHER RESOLVED, that the Chairman of the County Legislature be and he hereby is directed to note the decision of this Board on the application, execute an order to such effect to the officer having custody of the tax roll, send notice of approval to the applicant and file a copy of the records of this proceeding with the Clerk of the County Legislature; and

BE IT FURTHER RESOLVED, that the amount of any tax corrected pursuant to this Resolution shall be a charge upon the said municipal corporation or special district to the extent of any such municipal corporation or special district taxes that were so levied and that the amount so charged to any such municipal corporation or special district shall be included in the next ensuing tax levy and to the extent that the levy made pursuant to this resolution includes a relieved school tax, the Treasurer shall charge back such amount in accordance with law.

Moved by _____,
Seconded by _____,
and adopted on motion _____ day of _____, 2013.

Resolution No.

**RESOLUTION INTRODUCED BY HEALTH AND FAMILY SERVICES COMMITTEE
RESOLUTION TO AUTHORIZE COUNTY MANAGER TO EXECUTE AGREEMENTS
WITH NEW YORK AND OTHER STATE OR COMMONWEALTH APPROVED
FOSTER CARE RELATED SERVICE PROVIDERS**

WHEREAS, the County of Sullivan, through the Department of Family Services, is mandated to make available Foster Care related services as needed for children/youth; and

WHEREAS, various New York State and other State or Commonwealth approved providers are capable and willing to enter into agreement to provide Foster Care services for Sullivan County children/youth at State or Commonwealth approved rates; and

WHEREAS, certain New York State and other State or Commonwealth approved providers are additionally capable and willing to provide New York State Office of Children and Family Services (OCFS) allowable designated program activities, including aftercare services, during the trial discharge phase to be provided to the child and family for the duration of the aftercare period when the child remains in the care and custody of a local social services official during a period of aftercare/trial discharge to be paid at a per diem rate as the need arises.

NOW, THEREFORE, BE IT RESOLVED, that the Sullivan County Legislature does hereby authorize the County Manager to execute agreements with New York State and other State or Commonwealth approved Foster Care related service providers for Sullivan County youth during the period from July 1, 2013 through June 30, 2014; and

BE IT FURTHER RESOLVED, that the form of said contracts will be approved by the Sullivan County Department of Law.

Moved by _____,
Seconded by _____,
and adopted on motion _____, 2013.

RESOLUTION NO. INTRODUCED BY MANAGEMENT AND BUDGET COMMITTEE TO ADOPT AN INVESTMENT POLICY AND A DEBT MANAGEMENT POLICY FOR SULLIVAN COUNTY

WHEREAS, it is prudent for fiscal planning and stability to have written policies for investment and debt management, and

WHEREAS, an investment policy contains operating principals governing investment activities, and

WHEREAS, a debt management policy creates parameters for issuing debt and managing outstanding debt, and provides guidance to decision makers regarding timing and purposes for issuing debt, and

WHEREAS, the County Treasurer has presented and proposed written policies for investment and debt management, and recommends that the Sullivan County Legislator's review and adopt said policies, as maybe amended in the future, at least every five (5) years;

NOW, THEREFORE, BE IT RESOLVED, that the proposed written policies for Investment and for Debt Management, dated February 1, 2013, are hereby adopted, and

BE IT FUTHER RESOLVED, that the Sullivan County Legislature shall review and adapt written policies for Investment and Debt Management at least once every five (5) years.

Moved by:

Seconded by:

25

**SULLIVAN COUNTY
INVESTMENT
POLICY**

IRA J. COHEN, SULLIVAN COUNTY TREASURER

NANCY BUCK, DEPUTY COUNTY TREASURER

100 NORTH STREET

MONTICELLO, N.Y. 12701

February 1, 2013

25A

SULLIVAN COUNTY INVESTMENT POLICY

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SULLIVAN COUNTY INVESTMENT POLICY

I - PURPOSE

The purpose of establishing an investment policy is to develop operating principles { which govern investment activity} within the guidelines of current legislation. The investment policy will enable the County to work within these guidelines to formulate investment objectives. The County Treasurer will be guided by the investment policy in managing the short and long term investments of the County's available cash.

OBJECTIVES

The County's three primary objectives are the preservation of principal (**safety**), the timely maturity of investments [and earnings] (**liquidity**) and competitive interest rates on investments (**yield**). In order of priority, the investment objectives as previously mentioned are as follows:

SAFETY: Investing in money market instruments is generally considered to be extremely safe, whether it is short term or long term in nature. Nonetheless, there are differences in safety associated with various securities. Therefore, consideration must be given to safeguard the investment of available funds. Such considerations would include:

1. FDIC coverage
2. Written third party collateral agreements with local Banking Depositories and Primary Dealers
3. Statutory guidelines which govern the types of investments allowed by local municipalities

LIQUIDITY: A major concern to the County Treasure is the ability to convert securities into cash to meet all operating requirements that may be reasonably anticipated. Cash flow projections developed for both capital and operational commitments is a basic tool used in the planning and timing of maturing investments to meet anticipated demands.

YIELD: Selecting investments that will return to the County the highest possible yield (interest rate) while conforming to the requirements of safety and yield.

SULLIVAN COUNTY INVESTMENT POLICY

II – SCOPE

The Investment Policy encompasses all moneys that become available for investment and or deposit by the County. The sources of available funds include proceeds from local tax receipts, revenues from State and Federal agencies, sales tax receipts, proceeds from certain bond and note issues, revenues from fiduciary accounts (trust and agency), and other miscellaneous revenues.

DELEGATION OF AUTORITY

The authority to manage the investment program is granted to the County Treasurer who is the Chief Fiscal Officer of the County; as provided in the Sullivan County Charter. The County Treasurer shall carry out the established written procedures and controls for the operation of the investment program consistent with the County Investment Policy. No person shall engage in an investment transaction except as provided under the terms and conditions of this policy and the procedures established by the Chief Fiscal Officer. The Chief Fiscal Officer shall be responsible for all transactions undertaken and shall establish a system of controls to regulate the activities of subordinate officials.

SULLIVAN COUNTY INVESTMENT POLICY

III STANDARDS OF CARE! PRUDENCE & ETHICS

Prudence: in the investment process the Chief Fiscal Officer shall act as a responsible custodian of the public trust and shall avoid any transaction that might impair public confidence to govern effectively. The Chief Fiscal Officer shall act in accordance with written procedures as outlined in the County Investment Policy and exercise due diligence as an investment official. Investments shall be made with judgment and care, under prevailing circumstances, considering the probable safety of County revenues as well as the anticipated income to be derived from investments.

Ethics: The Chief Fiscal Officer shall refrain from any personal business activity that could conflict with proper execution of the investment program, or which could impair the ability to make impartial investment decisions.

INTERNAL CONTROLS

The County Treasurer is responsible for establishing and maintaining an internal control structure to provide reasonable assurance that deposits and investments are safeguarded against loss from unauthorized use or disposition, that transactions are executed in accordance with appropriate discretion and recorded properly, and are managed in compliance with applicable laws and regulations governing public funds.

SULLIVAN COUNTY INVESTMENT POLICY

IV – DESIGNATION OF DEPOSITORIES

Authorized Financial Dealer and Institution: Section 10 of New York State General Municipal Law requires the Sullivan County Legislature to designate one or more banks to secure the deposits of County funds and investments.

Exhibit A

Section 212 (3) of the County Law provides that the County Legislature shall designate one or more depositories within the County or in another county within the State, for the deposit of all monies received by the County Treasurer, and specify the maximum dollar limit which may be kept on deposit at any one time in each depository.

DEPOSITORY NAME	MAXIMUM
Provident Bank	\$25,000,000.
First National Bank of Jeffersonville	25,000,000.
Key Bank	50,000,000.
First Niagara Bank	25,000,000.
Catskill Hudson Bank	25,000,000.
M&T Bank	50,000,000.
TD Bank	25,000,000.
Chase Bank	50,000,000.
Citizens Bank	25,000,000.

SULLIVAN COUNTY INVESTMENT POLICY

V- COLLATERALIZING DEPOSITS

In accordance with the provisions of General Municipal Law, Section 10, all deposits of Sullivan County including certificates of deposit and special time deposits, in excess of the amount insured under the provisions of the Federal Deposit Insurance Act shall be secured by the following alternatives:

1. By a pledge of "eligible securities" with an aggregate "market value", equal to the aggregate amount of deposits from the categories designated to the policy.
2. An irrevocable **letter of credit** issued in favor of the County for a term not to exceed ninety days by a bank (other than the bank with which the money is being deposited or invested) whose commercial paper and other unsecured short-term debt obligations (or, in the case of a bank which is the principal subsidiary of a holding company, whose holding company's commercial paper and other unsecured short-term debt obligations) are rated in one of the three highest rating categories (based on the credit of such bank or holding company) by at least one nationally recognized statistical rating organization or by a bank (other than the bank with which the money is being deposited or invested) that is in compliance with applicable federal minimum risk-based capital requirements. A letter of credit must be 102% of deposit plus interest.
3. A **Surety Bond** payable to the County for an amount at least equal to 100% of the aggregate amount of deposits and the agreed upon interest, if any, executed by an insurance company authorized to do business in New York State, whose claims-paying ability is rated in the highest category by at least two nationally recognized statistical rating organizations.

SULLIVAN COUNTY INVESTMENT POLICY

VI – PERMITTED INVESTMENTS

Section 11 of General Municipal Law expressly authorizes the Chief Fiscal Officer to invest moneys not required for immediate expenditure for terms not to exceed its projected cash flow requirements in the following types of investments:

1. Special time deposit accounts in an authorized banking depository or trust company secured in the same manner prescribed by General Municipal Law, Section 10.
2. Obligations of the United States of America
3. Obligations guaranteed by agencies of the United States of America where the payment of principal and interest are guaranteed by the United States of America.
4. Obligations of the State of New York
5. Obligations issued pursuant to Local Finance Law Section 24 or 25 (RANS & TANS) of other municipalities, school districts or district corporation other than the County of Sullivan (with approval of the State Comptrollers Office).
6. Obligations of public benefit corporations; public housing authorities, urban renewal agencies and industrial development agencies.
7. Certificates of Deposit.

Two other types of investments are also permitted:

1. **Repurchase Agreements** are authorized subject to the following restrictions:
 - A. Repurchase Agreements must be entered into subject to a master repurchase agreement. (aka – PSA agreement)
 - B. No substitution of securities will be allowed
 - C. Securities owned by the County must be held by a 3rd party bank or trust company, acting as a custodian for the securities.
 - D. The custodian shall be a party other than the trading partner.
 - E. Obligations shall be limited to obligations of the USA and obligations guaranteed by agencies of the United States of America.
2. **Cooperative investments (CLASS and Public Financial Management/NYLAF** , subject to a written agreement

All investment obligations shall be redeemable on respective maturity dates as determined by the County Treasurer to meet expenditures for purposes for which the moneys were provided.

SULLIVAN COUNTY INVESTMENT POLICY

VII – SAFEKEEPING AND COLLATERALIZATION

General Municipal Law, Section 10, requires that all securities pledged to secure deposits be held by a Third Party Bank or Trust Company and be held pursuant to a written Custodial Agreement. The custodial agreement must acknowledge all the necessary provisions in order to provide the County with a perfected security interest, which includes the following:

1. The custodial agreement shall contain a security provision, which would provide that the collateral is being pledged by the bank or trust company as security for the public deposits. It shall also provide the conditions under which the securities may be sold, presented for payment, substituted or released and the events that will enable the local government to exercise its rights against the pledged securities.
2. The securities held by the authorized bank or trust company as agent of and custodian for the County, will be placed separate and apart from the general assets of the custodial bank or trust company, and will not, in any circumstances, be commingled with or become part of the security for any other deposits or obligations.
3. The custodian shall confirm the receipt, substitution or release of the securities held on behalf of the County.
4. The types of collateral used to secure County deposits must be in accordance with the most current legislation authorizing various types of collateral, and approved by the County
5. The County requires a margin of maintenance of 102% of the uninsured portion of deposits collateralized.
6. The County prefers written consent on part of the County Treasurer for release and substitution of securities affecting the County's custodial account.
7. The County requires a monthly update on third party collateral security.
8. The County requires that there be no sub-custodian.
9. The Custodian Bank must be a member of the Federal Reserve Bank.

**DEBT MANAGEMENT
POLICY
SULLIVAN COUNTY
TREASURER'S
OFFICE**

IRA J. COHEN, SULLIVAN COUNTY TREASURER

NANCY BUCK, DEPUTY COUNTY TREASURER

100 NORTH STREET

MONTICELLO, N.Y. 12701

February 1, 2013

DEBT MANAGEMENT POLICY SULLIVAN COUNTY TREASURER'S OFFICE

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DEBT MANAGEMENT POLICY SULLIVAN COUNTY TREASURER'S OFFICE

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DEBT MANAGEMENT POLICY SULLIVAN COUNTY TREASURER'S OFFICE

I. INTRODUCTION

The following policies are enacted in an effort to standardize and support the issuance and management of debt by the County of Sullivan ("County"). Their primary objective is to establish conditions for the use of debt and to create procedures and policies that minimize the County's debt service and issuance costs, maintain the highest practical credit rating, and provide full and complete financial disclosure and reporting. The policies apply to all general obligation debt issued by the County.

Regular, updated debt policies are an important tool to insure the use of the County's resources to meet its commitments to provide needed services to the citizens of the County and to maintain sound financial management practices. These policies are therefore guidelines for general use, and allow for exceptions as appropriate and necessary on a case-by-case basis.

II. PURPOSE

The County recognizes that the foundation of any well-managed debt program is a comprehensive debt policy. A debt policy sets forth the parameters for issuing debt and managing outstanding debt. It provides guidance to decision makers regarding the timing and purposes for which debt may be issued, types and amounts of permissible debt, methods of sale that may be used and structural features that may be incorporated. The debt policy should recognize a binding commitment to full and timely repayment of all debt as an intrinsic requirement for entry into capital markets. Adherence to a debt policy helps to ensure that a government maintains a sound debt position and that credit quality is protected. Adoption of and compliance with a sound debt policy bestows significant benefits including:

The enhancement of the quality of decisions by imposing order and discipline; the promotion of consistency and continuity in decision making; the expression and demonstration of commitment to long-term financial planning objectives; and the enhancement of the County's profile and recognition and for fiscal responsibility by the rating agencies and the general public in reviewing the credit quality of the County.

III. CREDITWORTHINESS OBJECTIVES

- A. Management Practices: The County must institute and maintain sound management practices and continue to follow practices that will reflect positively on it in the rating process. Among these are: the County development of and adherence to long-term financial and capital improvement plans, management of expense growth in line with revenues and maintenance of an adequate level of operating reserves. Historically, the County has targeted a minimum unreserved, undesignated fund balance in its General Fund equal to at least 7% of the General Fund's budgeted expenditures. The Budget Officer and the elected CFO must work to assure, prepare and monitor adherence to the budget throughout the year.
- B. Credit Ratings: The County seeks to maintain the highest possible credit ratings for all categories of short and long-term general obligation debt that can be achieved without compromising delivery of basic County services and achievement of adopted County policy

DEBT MANAGEMENT POLICY SULLIVAN COUNTY TREASURER'S OFFICE

objectives. High credit ratings directly reduce interest expense to the county when issuing debt, benefiting the County's fiscal condition and reducing the cost of borrowing.

- C. Protection of Bond Rating: Credit ratings issued by the bond rating agencies are a major factor in determining the cost of borrowed funds in the municipal bond market. The concept of debt capacity, or affordability, recognizes that the County has a finite capacity to issue debt at a given credit level. It should be recognized however that there are no predetermined debt level/credit rating formulas available from the rating agencies. Many factors are involved. Determination of a credit rating by a rating agency is based on the rating agency's assessment of the creditworthiness of an issuer with respect to a specific obligation. The County meets its lawful responsibilities and conducts its ongoing business while maintaining the highest standards of financial management within four areas:

- (1) **Economic Base**: The County recognizes that its own fiscal health is directly related to the vigor, growth and robustness of its commercial environment. To that end as a matter of policy the County generally avoids entering into any operation which might compete with the private sector, and actively supports public and private organizations and agencies which foster balanced economic health in the private sector. Sullivan County has a local Industrial Development Agency ("IDA"). Under State law, IDA's offer negotiated tax incentives to attract business to their area. The County government maintains a close working relationship with prominent local business development organizations. The Sullivan County Partnership is the County's primary business marketer, providing recruitment and retention functions. Sullivan County also supports a Not for Profit Organization to promote Tourism. The Chamber of Commerce of Sullivan County is the primary provider of business services, guidance and networking for its members. The County has contracts with and provides financial support for the Cornell Cooperative Extension. This balanced approach, combined with continued pro-active County Government participation and coordination, supports a broadly based view of the County's present and future prosperity, enabling County leadership to maintain the County's uniquely diverse quality of life which in turn supports the local economy.
- (2) **Debt Burden**: The County has established reserves and designated funds to bear the cost of the County's specific purposes and projects. The purpose of these reserves and designations is to provide additional structure and clarity to the debt management function. It also creates an efficient and effective system thereby reducing debt service costs and also reducing the need for additional future borrowings themselves. The regularity of the County debt management mechanism is a valuable component of the County's overall capital asset management function, and enables the County to reliably and accurately plan, balance and coordinate its financial management with its capital projects.
- (3) **Administration Management**: The conceptualization, refinement, adoption, review and improvement of formal policies and systems creates an ongoing process of institutionalizing financial decision-making according to proven best practices resulting in stability and reliability in financial management.

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- (4) **Fiscal Management:** Under State Law and the provisions of the Sullivan County Charter, the 9 elected members of the Sullivan County Legislature are collectively charged with the setting of County fiscal policy. Close relationships and cooperation between and among the Sullivan County Manager, the County Legislature and the County Treasurer ensure that financial decisions are carried out according to County policies. These policies are determined with the best advice, shared knowledge and expertise of the various County officials and their advisors.
- D. **Financial Disclosure:** The County is committed to full and complete financial disclosure, and to cooperating fully with rating agencies, institutional and individual investors, county departments and agencies, other levels of government, and the general public to share clear, comprehensible, and accurate financial information. The County is committed to meeting secondary disclosure as mandated by the SEC.
- E. **Capital Planning:** To enhance creditworthiness and prudent financial management, the County is committed to systematic capital planning, intergovernmental cooperation and coordination and long-term financial planning. Evidence of this commitment to systematic capital planning is demonstrated through the adoption and periodic adjustments of an annual capital plan as a component of the annual budget process as defined in the Sullivan County Charter.
- F. **Debt Limits:** The County will keep outstanding debt within the limits prescribed by New York State Law and at levels consistent with its creditworthiness objectives and its ability to make timely payments.
- G. **Bond Features:** Debt instruments issued by the County are general obligations of the County. Its full faith and credit, and unlimited taxing power are irrevocably pledged to the punctual payment of the principal of and interest on such bonds when due and payable. Principal of bonds is payable in installments, generally, the first of which is payable within two years of the date of issue.

IV. PURPOSES AND USES OF DEBT

- A. **Capital Financing:** The County will rely on internally generated funds and/or grants and contributions from other governments (i.e. federal, state and local) to finance its capital needs whenever available. Debt will be issued for a capital project when it is an appropriate means to achieve a fair allocation of costs between current and future beneficiaries.
- B. **Asset Life:** The County will consider long-term financing for the acquisition, maintenance, replacement, or expansion of physical assets (including land) only if they have a useful life of at least five years. Debt will be used only to finance capital projects and equipment, and to assist with cash flow, except in the case of an emergency. County debt will not be issued for periods exceeding the useful life or average useful lives of the project or projects to be financed, as prescribed by the Local Finance Law.

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- C. Cash Flow: The use of TANS and RANS is discouraged unless absolutely necessary to maintain reasonable and workable Cash Flow. The Treasurer shall have the authority to sell notes as may be necessary for cash flow, and shall advise the County Legislature either before the sale or promptly thereafter as reasonably possible.

V. DEBT STANDARDS AND STRUCTURES

A. Debt Structuring:

1. Maturity Schedules: The term of County debt issues should not extend beyond the useful life of the project or equipment financed. Debt issued by the County can be structured using level debt or the 50% rule.
 2. Original Issue Discount or Premium: The County's bonds may be and frequently are sold at a discount or premium, in order to market its bonds more effectively, achieve interest cost savings or meet other financing objectives.
 3. Call Options and Refunding: A call option, or optional redemption provision, gives the issuer of a bond the right to prepay or retire a debt prior to its stated maturity. This option allows the issuer to achieve interest savings in the future through the refunding of the bonds. The County will include call options in its bond issues as may be prudent and appropriate and within acceptable market parameters, in order to preserve flexibility for future refunding. Refunding of existing debt shall be in the sole discretion of the County Treasurer, upon advice from the County's Financial Advisors, upon Resolution of the Legislature
- B. Refunding/Advance: A refunding is generally the underwriting of a new bond issue whose proceeds are used to redeem an outstanding issue(s). The County will consider and pursue refunding debt whenever an analysis indicates the potential for net economic benefit to the County from such refunding. The benefit is measured in terms of present value savings or substantial dollar amount savings. As a general rule, the present value savings of a particular refunding should exceed 5% of the refunded maturates or the dollar amount savings should not be less than \$200,000. An advance refunding is when the first call date is over 90 days after the closing date of the bond sale.
- C. Credit Enhancements/Bond Insurance: Credit enhancements are mechanisms that guarantee principal and interest payments. They include bond insurance and a line or letter of credit. Bond insurance is an insurance policy purchased by an issuer or an underwriter for either an entire issue or specific maturates, which guarantee the payment of principal and interest. This security provides a higher credit rating and thus, a lower borrowing cost for an issue, depending on the cost of the enhancement. Credit enhancements will be considered when the net debt service on the bonds is reduced by more than the costs of the enhancement.

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VI. DEBT ADMINISTRATION AND PROCESS

- A. Investment of Bond Proceeds: All general obligation and revenue bond proceeds shall be invested as part of the County's consolidated cash pool unless otherwise specified by the bond legislation (resolution) or indenture. Debt proceeds will be invested with two goals: 1) to assure the safety and liquidity of such investments and 2) to maximize investment yield. The investments will be consistent with those authorized by existing New York State law and by the County's Investment Policy.
- B. Interest Earnings: Interest earnings received on the investment of bond proceeds shall be used to assist in paying the interest due on bond issues to the extent permitted by law.
- C. Cost & Fees: All costs and fees related to issuance of bonds will be paid either out of bond proceeds or by the debt service fund.
- D. Methods of Sale:
1. Competitive Sale: With a competitive sale, any interested underwriter(s) is invited to submit a proposal to purchase an issue of bonds. The bonds are awarded to the underwriter(s) presenting the best bid according to stipulated criteria set forth in a notice of sale. Debt obligations are generally issued through a competitive sale process. The County and its financial advisor will set the terms of the sale to encourage as many bidders as possible. By maximizing the bidding, the County seeks to obtain the lowest possible interest rates on its bonds. The best bid is determined based on the lowest overall interest rate and the reputation and experience of the bidders. Bid's will be awarded on either a true interest cost basis (TIC) or net interest cost basis (NIC).
 2. Negotiated Sale: When certain market conditions seem favorable or when a negotiated sale will provide significant benefits to the County that would not be achieved through a competitive sale, the County may elect to sell its debt obligations through a negotiated sale. The determination to use the negotiated method can be made on an issue-by-issue basis, for a series of issues or for part or all of a specific financing program.
- E. Financing Team: The County employs outside financial specialists to assist it in developing a bond issuance strategy, preparing bond documents and marketing bonds to investors. The key players in the County's financing transactions include its financial advisor and bond counsel, the underwriter (on a negotiated sale) and the Treasurer and/ or Deputy Treasurer. Other outside firms, such as those providing paying agent/registrars, trustee, credit enhancement, auditing, or printing services, are retained as required.

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1. Financial Advisor: The financial advisor will advise and service the County on such issues as: timing of sale, sizing of the issue, structure of the issue, marketing refunding and any other advice related to the issuance of payment of debt.
 2. Bond Counsel: The County will retain external bond counsel for all debt issues. All debt issued by the County will include a written opinion by bond counsel affirming that the County is authorized to issue debt, stating that the County has met all state constitutional and statutory requirements necessary for issuance, and determining the debt's federal income tax status.
 3. Underwriter: The underwriter, under either a competitive or negotiated sale, contracts to purchase the County's bonds for that particular issue.
 4. Underwriter's Counsel: Under a negotiated sale, the County may pay the expenses of the underwriter's counsel.
- F. Compensation for Services: Compensation for the financial advisor, bond counsel, underwriter's counsel, and other financial services will be as reasonable as possible, given desired qualification levels, and consistent with industry standards.
- G. Other Service Providers: The County Treasurer shall have the authority to periodically select other service providers (e.g., escrow agents, verification agents, trustees, etc.) as necessary to meet legal requirements and minimize net County debt costs. These services can include debt restructuring services and security or escrow purchases.

VII. COMPREHENSIVE CAPITAL PLANNING AND FINANCING SYSTEM

- A. Capital Planning and Financing System: The County shall develop a capital planning and financing system for use in preparing a multi-year Capital Projects Plan for consideration and adoption by the County Legislature as part of the County's budget process. Each department shall submit annually, a request for capital projects to the County Manager and Treasurer for review and consideration by the Capital Planning Projects Committee. The Capital Committee includes, pursuant to the Charter, County Manager, involved members of the Legislature, and the County Treasurer. These requests are considered to prepare the Six-Year Capital Projects Plan. The Plan contains a description of the sources of funds and the timing of capital project expenditures for future operating and capital budgets.
- B. Debt Authorization: No County debt will be issued for other than funding of capital projects [and not until authorized by the Sullivan County Legislature] or cash flow (e.g. TANS, RANS, etc. in the discretion of the County Treasurer).

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VIII. LIMITATIONS ON COUNTY INDEBTEDNESS:

Pursuant to New York State Local Finance Law the County has the power to contract indebtedness for any purposes authorized by the Legislature of the State of New York, provided that the aggregate principal amount thereof shall not exceed amounts as prescribed by the law. In addition, indebtedness must be limited so that yearly payments are reasonably affordable.

IX. STRUCTURE AND TERMS OF COUNTY INDEBTEDNESS

A. Short-Term Debt and Interim Financing:

1. Bond Anticipation Notes: The County may issue short-term borrowing such as bond anticipation notes, know as BANS and BARNS when their use is judged to be prudent and advantageous. The County may elect to use BANS and BARNS to provide interim construction financing for its capital improvement program as a method of managing its available cash.
2. Tax and Revenue Anticipation Notes: Where their use is judged by the County Treasurer to be prudent and advantageous, the County Treasurer may choose to issue Tax Anticipation Notes (TANS) and Revenue Anticipation Notes (RANS) to fund internal working capital cash flow needs. TANS and RANS are typically sold in a competitive sale. The Treasurer shall have the authority to sell notes as may be necessary for cash flow and shall advise the County Legislature either before the sale or promptly thereafter as reasonably possible.

B. Long-Term Debt:

1. Serial Bonds: Serial bonds are those issues that have bonds maturing annually (or serially) in specified amounts. Generally, the County issues long-term debt in form of serial bonds.
2. Term Bonds: Term bonds are those issues that have a single stated maturity. Long term debt is used to finance capital projects pursuant to the Local Finance Law.

X. OTHER METHODS OF FINANCING

A. New York State Revolving Funds (Environmental Facilities Corporation):

1. Clean Water State Revolving Fund for Water Pollution Control
2. Drinking Water State Revolving Fund

B. Derivative Products: These include interest rate swaps, floating/fixed rate auction, or other forms of debt bearing variable interest rates.

C. Capital Leasing (Lease/Purchase Agreements): An option for the acquisition of a piece of equipment or package of equipment.

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- D. Certificates of Participation: This instrument provides an opportunity to local residents to purchase smaller pieces of the County's debt issues.

XI. MISCELLANEOUS

- A. Official Statement: The Official Statement is the disclosure document prepared by or on behalf of the County for an offering of securities. The County is ultimately responsible for the contents of the Official Statement. A Preliminary Official Statement is issued prior to the sale for the purpose of marketing the proposed debt issuance.
- B. Approval by the Sullivan County Legislature: The Sullivan County Debt Management Policy will be presented to and adopted by the Sullivan County Legislature as official County policy, by formal legislative resolution. The County Legislature also reviews, approves and formally adopts the County Investment Policy and other financial policies. Both policies should be revived and adopted at least every five (5) years.
- C. Modifications to Policy: These policies will be reviewed annually or as necessary by the County Treasurer and significant changes will be presented to the Sullivan County Legislature for their review and approval, as necessary, but at least within every five (5) years.