

# The Legislature of Rockland County



MICHAEL M. GRANT

Legislator - District 2

Chair, Budget & Finance Committee

2nd Vice Chair - Planning & Public Works Committee

## AGENDA BUDGET & FINANCE COMMITTEE TUESDAY, FEBRUARY 9, 2016 7:15 PM

### ROLL CALL

ADOPTION OF MINUTES: JANUARY 12, 2016 and JANUARY 26, 2016.

### 1. BONDS/PUBLIC WORKS MATTER:

1PPW) REF. #2946 - AUTHORIZING AND DIRECTING THE CLERK TO THE LEGISLATURE TO ADVERTISE FOR BIDS – FOR A CONSTRUCTION CONTRACT FOR THE RETAINING WALL REPAIR AND EMBANKMENT STABILIZATION AT 49 SOUTH ROUTE 9W IN THE VILLAGE OF WEST HAVERSTRAW, TOWN OF HAVERSTRAW CAPITAL PROJECT NO. 7112 [DRAINAGE AGENCY]  
**(CHARLES H. VEZZETTI, CHAIRMAN, DRAINAGE AGENCY)**  
**DL#2016-00077**

SUBJECT TO APPROVE OF PLANNING & PUBLIC WORKS COMMITTEE  
ADDITIONAL BACKUP ON FILE WITH PPW CLERK

2PPW) REF. #5906 - AWARD OF CONTRACT TO NATIONAL WATER MAIN CLEANING CO. AND APPROVING AGREEMENT FOR A TOTAL CONTRACT SUM NOT TO EXCEED \$1,077,981.85 FOR THE SEWER SYSTEM MAINTENANCE PROJECT CONTRACT SM2016-01 AND AUTHORIZING ITS EXECUTION BY THE COUNTY EXECUTIVE [ROCKLAND COUNTY SEWER DISTRICT NO. 1] (\$1,077,981.85)  
**(DIANE PHILIPPS, EXECUTIVE DIRECTOR, SEWER DISTRICT)**  
**DL#2016-00139**

SUBJECT TO APPROVE OF PLANNING & PUBLIC WORKS COMMITTEE

3PPW) REF. #5906 - APPROVING AN AGREEMENT IN EXCESS OF \$100,000 WITH UPSTATE CONCRETE & MASONRY CONTRACTING CO., INC. IN AN AMOUNT NOT TO EXCEED \$254,426 FOR CONTRACT RFB-RC-SWR-2015-05 FOR THE EXTERIOR MASONRY/STARS/CONCRETE REPAIR PROJECT AND AUTHORIZING ITS EXECUTION BY THE COUNTY EXECUTIVE [ROCKLAND COUNTY SEWER DISTRICT NO. 1] (\$254,426)  
**(DIANE PHILIPPS, EXECUTIVE DIRECTOR, SEWER DISTRICT)**  
**DL#2016-00301**

SUBJECT TO APPROVE OF PLANNING & PUBLIC WORKS COMMITTEE

4PPW) REF. #5906 - APPROVING AN AGREEMENT IN EXCESS OF \$100,000 WITH FRED A. COOK, JR., INC. IN AN AMOUNT NOT TO EXCEED \$225,959 FOR CONTRACT RFB-RC-SWR-SM2016-02 FOR THE SEWER SYSTEM MAINTENANCE PROJECT - RAMAPO INTERCEPTOR AND AUTHORIZING ITS EXECUTION BY THE COUNTY EXECUTIVE [ROCKLAND COUNTY SEWER DISTRICT NO. 1] (\$225,959)  
**(DIANE PHILIPPS, EXECUTIVE DIRECTOR, SEWER DISTRICT)**  
**DL#2016-00298**

SUBJECT TO APPROVE OF PLANNING & PUBLIC WORKS COMMITTEE

5PPW) REF. #6394 - APPROVING THE PURCHASE IN EXCESS OF \$100,000 FROM JOE JOHNSON EQUIPMENT, INC. OF TWO (2) TRACKLESS MT6 TRACTORS AND TWO (2) SPARE TIRES AN RIMS FOR THE ROCKLAND COUNTY HIGHWAY DEPARTMENT IN THE TOTAL AMOUNT OF \$319,396 WITH ALL PURCHASES TO BE MADE BY FORMAL PURCHASE ORDER UNDER RFB-RC-2015-103 [DEPARTMENT OF GENERAL SERVICES-DIVISION OF PURCHASING] (\$319,396)  
**(PAUL J. BRENNAN, CPPO DIRECTOR DGS-PURCHASING)**  
**DL#2016-00063**

SUBJECT TO APPROVE OF PLANNING & PUBLIC WORKS COMMITTEE

6PPW) REF. #6795 - APPROVING PURCHASES IN EXCESS OF \$100,000 FROM SWIFT ELECTRICAL SUPPLY FOR ELECTRICAL SUPPLIES FOR VARIOUS COUNTY OF ROCKLAND DEPARTMENTS IN THE ADDITIONAL AMOUNT OF \$60,000 FOR A TOTAL AMOUNT NOT TO EXCEED \$179,549.27 FROM THE COMMENCEMENT DATE MARCH 13, 2013 THROUGH MARCH 12, 2017 WIT ALL PURCHASES TO BE MADE BY FORMAL PURCHASE ORDER UNDER RFB-RC-2013-010 [DEPARTMENT OF GENERAL SERVICES-DIVISION OF PURCHASING] (\$179,549.27)  
**(PAUL J. BRENNAN, CPPO DIRECTOR DGS-PURCHASING)**  
**DL#2016-00168**

SUBJECT TO APPROVE OF PLANNING & PUBLIC WORKS COMMITTEE

7PPW) REF. #7493 - APPROVING PURCHASES IN EXCESS OF \$100,000 FOR VARIOUS COUNTY DEPARTMENTS UNDER VARIOUS NEW YORK STATE OFFICE OF GENERAL SERVICES CONTRACTS FOR THE PERIOD JANUARY 1, 2016 THROUGH DECEMBER 31, 2016 WITH ALL PURCHASES TO BE MADE BY FORMAL PURCHASE ORDER [DEPARTMENT OF GENERAL SERVICES-DIVISION OF PURCHASING]  
**(PAUL J. BRENNAN, CPPO DIRECTOR DGS-PURCHASING)**  
**DL#2016-00221**

SUBJECT TO APPROVE OF PLANNING & PUBLIC WORKS COMMITTEE  
ADDITIONAL BACKUP ON FILE WITH PPW CLERK

8PPW) REF. #8593 - APPROVING PURCHASES IN EXCESS OF \$100,000 WITH HUSH MAINTENANCE CORP. IN AN AMOUNT NOT TO EXCEED \$172,406.61 FOR ELECTRICAL SERVICES FOR THE DEPARTMENT OF GENERAL SERVICES-FACILITIES MANAGEMENT UNDER RFB-RC-2015-020 BY FORMAL PURCHASE ORDER FROM THE COMMENCEMENT DATE APRIL 8, 2015 THROUGH APRIL 7, 2017 [DEPARTMENT OF GENERAL SERVICES-DIVISION OF PURCHASING] (\$172,406.61)  
**(PAUL J. BRENNAN, CPPO DIRECTOR DGS-PURCHASING)**  
**DL#2016-00064**

SUBJECT TO APPROVE OF PLANNING & PUBLIC WORKS COMMITTEE

2. GRANTS/DONATIONS:

2A) REF. #8183 - AUTHORIZING THE DONATION OF SURPLUS COMPUTERS AND MONITORS BY THE COUNTY OF ROCKLAND UNDER RFI-RC-2015-010 TO ROCKLAND INDEPENDENT LIVING CENTER, LIBERTY LEARNING TREE DIGNITY SERVICES, INC., WOMEN VETERANS ASSOCIATION OF HUDSON VALLEY, INC., AND MOSDOS SANZ KLAUSENBURG OF MONSEY PURSUANT TO NEW YORK GENERAL MUNICIPAL LAW § 104-C [DEPARTMENT OF GENERAL SERVICES-DIVISION OF PURCHASING]  
**(PAUL J. BRENNAN, CPPO DIRECTOR DGS-PURCHASING)**  
**DL#2016-00302**

3. BUDGET ITEMS:

NONE

4. AUTHORIZATIONS:

NONE

5. CONTRACTS/AGREEMENTS:

5A) REF. #5327 - AUTHORIZING THE EXECUTION OF AN INTERMUNICIPAL AGREEMENT BETWEEN THE COUNTY OF ROCKLAND AND THE TOWN OF RAMAPO FOR USE OF THE RAMAPO POLICE RANGE FACILITY FOR THE PERIOD JANUARY 1, 2016 THROUGH DECEMBER 31, 2016 AT NO COST TO THE COUNTY [SHERIFF'S DEPARTMENT]  
**(LOUIS FALCO, III, SHERIFF)**  
**DL#2016-00222**

SUBJECT TO APPROVAL OF PUBLIC SAFETY COMMITTEE

5B) REF. #7300 - APPROVING AN INTERMUNICIPAL COOPERATION AGREEMENT BETWEEN THE COUNTY OF ROCKLAND AND THE COUNTY OF MONROE FOR THE COUNTY OF MONROE TO PROVIDE HOUSING AND JAIL SECURITY SERVICES TO INMATES RECEIVING MENTAL HEALTH TREATMENT AT THE ROCHESTER PSYCHIATRIC CENTER FOR THE PERIOD JANUARY 1, 2016 THROUGH DECEMBER 31, 2020 AND AUTHORIZING ITS EXECUTION BY THE COUNTY EXECUTIVE [SHERIFF-JAIL]  
**(LOUIS FALCO, III, SHERIFF)**  
**DL#2015-05873**

SUBJECT TO APPROVAL OF PUBLIC SAFETY COMMITTEE

5C) REF. #2973A - APPROVING THE AGREEMENT IN EXCESS OF \$100,000 WITH JAWONIO, INC. FOR A COMBINED SERVICES AGREEMENT IN THE AMOUNT OF \$584,007 [NCTD] FOR THE CALENDAR YEAR 2016 AND AUTHORIZING THE COUNTY EXECUTIVE TO EXECUTE THE AGREEMENT [DEPARTMENT OF MENTAL HEALTH] (\$584,007)  
**(MICHAEL LEITZES COMMISSIONER OF MENTAL HEALTH)**  
**DL#2016-00262**

SUBJECT TO APPROVAL OF MULTI SERVICES COMMITTEE  
ADDITIONAL BACKUP ON FILE WITH MULTI SERVICES CLERK

5D) REF. #2973B - APPROVING THE AGREEMENT IN EXCESS OF \$100,000 WITH OPEN ARMS, INC. FOR HALFWAY HOUSE SERVICES IN THE AMOUNT OF \$528,512 [NCTD] FOR THE CALENDAR YEAR 2016 AND AUTHORIZING THE COUNTY EXECUTIVE TO EXECUTE THE AGREEMENT [DEPARTMENT OF MENTAL HEALTH] (\$528,512)  
**(MICHAEL LEITZES COMMISSIONER OF MENTAL HEALTH)**  
**DL#2016-00260**

SUBJECT TO APPROVAL OF MULTI SERVICES COMMITTEE  
ADDITIONAL BACKUP ON FILE WITH MULTI SERVICES CLERK

5E) REF. #2973C - APPROVING THE AGREEMENT IN EXCESS OF \$100,000 WITH COMMUNITY AWARENESS NETWORK FOR A DRUGFREE LIFE AND ENVIRONMENT, INC. (C.A.N.D.L.E.) FOR NARCOTICS ADDICTION CONTROL AND PREVENTION PROGRAMS FOR CHILDREN AND ADULTS IN THE AMOUNT OF \$230,525 [NCTD] FOR THE CALENDAR YEAR 2016 AND AUTHORIZING THE COUNTY EXECUTIVE TO EXECUTE THE AGREEMENT [DEPARTMENT OF MENTAL HEALTH] (\$230,525)  
**(MICHAEL LEITZES COMMISSIONER OF MENTAL HEALTH)**  
**DL#2016-00259**

SUBJECT TO APPROVAL OF MULTI SERVICES COMMITTEE  
ADDITIONAL BACKUP ON FILE WITH MULTI SERVICES CLERK

5F) REF. #2973D - APPROVING THE AGREEMENT IN EXCESS OF \$100,000 WITH SAINT DOMINIC'S HOME FOR SUPPORTED HOUSING, CHILDREN FIRST AFTER SCHOOL PROGRAM AND FAMILIES EMPOWERED (CAFE) CASE MANAGEMENT PROGRAM IN THE AMOUNT OF \$759,555 [NCTD] FOR THE CALENDAR YEAR 2016 AND AUTHORIZING THE COUNTY EXECUTIVE TO EXECUTE THE AGREEMENT [DEPARTMENT OF MENTAL HEALTH] (\$759,555)  
**(MICHAEL LEITZES COMMISSIONER OF MENTAL HEALTH)**  
**DL#2016-00333**

SUBJECT TO APPROVAL OF MULTI SERVICES COMMITTEE  
ADDITIONAL BACKUP ON FILE WITH MULTI SERVICES CLERK

5G) REF. #2973E - APPROVING THE AGREEMENT IN EXCESS OF \$100,000 WITH NYSARC, INC., ROCKLAND COUNTY CHAPTER, D/B/A ARC OF ROCKLAND, INC. FOR A DAY TRAINING PROGRAM IN A TOTAL AMOUNT NOT TO EXCEED \$257,514 WHICH INCLUDES A LOCAL SHARE IN THE AMOUNT OF \$128,757 FOR THE CALENDAR YEAR 2016 AND AUTHORIZING THE COUNTY EXECUTIVE TO EXECUTE THE AGREEMENT [DEPARTMENT OF MENTAL HEALTH] (\$257,514)  
**(MICHAEL LEITZES COMMISSIONER OF MENTAL HEALTH)**  
**DL#2016-00338**

SUBJECT TO APPROVAL OF MULTI SERVICES COMMITTEE  
ADDITIONAL BACKUP ON FILE WITH MULTI SERVICES CLERK

5H) REF. #2973F - APPROVING THE AGREEMENT IN EXCESS OF \$100,000 WITH LEXINGTON CENTER FOR RECOVERY, INC. FOR CHEMICAL DEPENDENCE - MEDICALLY SUPERVISED OUTPATIENT CLINIC AND OUTPATIENT REHABILITATION SERVICES, METHADONE TREATMENT PROGRAM AND GAMBLING COUNSELING SERVICES IN A TOTAL AMOUNT NOT TO EXCEED \$1,367,305 WHICH INCLUDES A LOCAL SHARE IN THE AMOUNT OF \$535,617 FOR THE CALENDAR YEAR 2016 AND AUTHORIZING THE COUNTY EXECUTIVE TO EXECUTE THE AGREEMENT [DEPARTMENT OF MENTAL HEALTH] (\$1,367,305)  
**(MICHAEL LEITZES COMMISSIONER OF MENTAL HEALTH)**  
**DL#2016-00330**

SUBJECT TO APPROVAL OF MULTI SERVICES COMMITTEE  
ADDITIONAL BACKUP ON FILE WITH MULTI SERVICES CLERK

5I) REF. #2973G - APPROVING THE AGREEMENT IN EXCESS OF \$100,000 WITH LOEB HOUSE, INC. FOR A COMBINED SERVICES AGREEMENT IN THE AMOUNT OF \$916,894 WHICH INCLUDES A LOCAL SHARE IN THE AMOUNT OF \$9,140 FOR THE CALENDAR YEAR 2016 AND AUTHORIZING THE COUNTY EXECUTIVE TO EXECUTE THE AGREEMENT [DEPARTMENT OF MENTAL HEALTH] (\$916,894)  
**(MICHAEL LEITZES COMMISSIONER OF MENTAL HEALTH)**  
**DL#2016-00343**

SUBJECT TO APPROVAL OF MULTI SERVICES COMMITTEE  
ADDITIONAL BACKUP ON FILE WITH MULTI SERVICES CLERK

5J) REF. #2973H - APPROVING THE AGREEMENT IN EXCESS OF \$100,000 WITH ROCKLAND HOSPITAL GUILD, INC. FOR SUPPORTED HOUSING, ADVOCACY/SUPPORT SERVICES AND ENHANCED STAFFING FOR RESIDENTIAL SERVICES FOR THE DEAF IN THE AMOUNT OF \$752,100 [NCTD] FOR THE CALENDAR YEAR 2016 AND AUTHORIZING THE COUNTY EXECUTIVE TO EXECUTE THE AGREEMENT [DEPARTMENT OF MENTAL HEALTH] (\$752,100)  
**(MICHAEL LEITZES COMMISSIONER OF MENTAL HEALTH)**  
**DL#2016-00345**

SUBJECT TO APPROVAL OF MULTI SERVICES COMMITTEE  
ADDITIONAL BACKUP ON FILE WITH MULTI SERVICES CLERK

5K) REF. #2973I - APPROVING THE AGREEMENT IN EXCESS OF \$100,000 WITH ROCKLAND PARAMEDIC SERVICES, INC. FOR MOBILE CRISIS INTERVENTION RESPONSE TEAM SERVICES IN THE AMOUNT OF \$849,668 [NCTD] FOR THE CALENDAR YEAR 2016 AND AUTHORIZING THE COUNTY EXECUTIVE TO EXECUTE THE AGREEMENT [DEPARTMENT OF MENTAL HEALTH] (\$849,668)  
**(MICHAEL LEITZES COMMISSIONER OF MENTAL HEALTH)**  
**DL#2016-00335**

SUBJECT TO APPROVAL OF MULTI SERVICES COMMITTEE  
ADDITIONAL BACKUP ON FILE WITH MULTI SERVICES CLERK

5L) REF. #2973J - APPROVING THE AGREEMENT IN EXCESS OF \$100,000 WITH CAMP VENTURE, INC. FOR SUMMER CAMP AND SHELTERED WORKSHOP IN A TOTAL AMOUNT NOT TO EXCEED \$366,978 WHICH INCLUDES A LOCAL SHARE IN THE AMOUNT OF \$194,300 FOR THE CALENDAR YEAR 2016 AND AUTHORIZING THE COUNTY EXECUTIVE TO EXECUTE THE AGREEMENT [DEPARTMENT OF MENTAL HEALTH] (\$366,978)  
**(MICHAEL LEITZES COMMISSIONER OF MENTAL HEALTH)**  
**DL#2016-00351**

SUBJECT TO APPROVAL OF MULTI SERVICES COMMITTEE  
ADDITIONAL BACKUP ON FILE WITH MULTI SERVICES CLERK

5M) REF. #2973K - APPROVING THE AGREEMENT IN EXCESS OF \$100,000 WITH ROCKLAND COUNCIL ON ALCOHOLISM & OTHER DRUG DEPENDENCE, INC. FOR PREVENTION SERVICES IN A TOTAL AMOUNT NOT TO EXCEED \$389,011 WHICH INCLUDES A LOCAL SHARE IN THE AMOUNT OF \$30,660 FOR THE CALENDAR YEAR 2016 AND AUTHORIZING THE COUNTY EXECUTIVE TO EXECUTE THE AGREEMENT [DEPARTMENT OF MENTAL HEALTH] (\$389,011)  
**(MICHAEL LEITZES COMMISSIONER OF MENTAL HEALTH)**  
**DL#2016-00349**

SUBJECT TO APPROVAL OF MULTI SERVICES COMMITTEE  
ADDITIONAL BACKUP ON FILE WITH MULTI SERVICES CLERK

5N) REF. #2973L - APPROVING THE AGREEMENT IN EXCESS OF \$100,000 WITH MENTAL HEALTH ASSOCIATION OF ROCKLAND COUNTY, INC. FOR COMBINED SERVICES IN A TOTAL AMOUNT NOT TO EXCEED \$2,351,557 WHICH INCLUDES A LOCAL SHARE IN THE AMOUNT OF \$102,077 FOR THE CALENDAR YEAR 2016 AND AUTHORIZING THE COUNTY EXECUTIVE TO EXECUTE THE AGREEMENT [DEPARTMENT OF MENTAL HEALTH] (\$2,351,557)  
**(MICHAEL LEITZES COMMISSIONER OF MENTAL HEALTH)**  
**DL#2016-00341**

SUBJECT TO APPROVAL OF MULTI SERVICES COMMITTEE  
ADDITIONAL BACKUP ON FILE WITH MULTI SERVICES CLERK

6. ALLOCATION/RECLASSIFICATION OF POSITIONS:

6A) REF. #9173/2369 - TRANSFERRING A POSITION FROM THE DIVISION OF ENVIRONMENTAL RESOURCES TO THE DEPARTMENT OF SOCIAL SERVICES  
(JOAN M. SILVESTRI, COMMISSIONER OF PERSONNEL)  
DL#2016-00201

7. BIDS: NONE

8. TRANSFER OF FUNDS/OTHERS: NONE

9. TAX ITEMS: NONE

10. PUBLIC HEARINGS: NONE

11. LOCAL LAWS/HOME RULES: NONE

12. PRESENTATIONS/DISCUSSIONS:

12A) REF. #8222/7345 -DISCUSSION ITEM: AUDIT OF THE 2012/2013 SALARY DEFERMENT PROGRAM AND REIMBURSEMENT OF SAME OF ALL COUNTY EMPLOYEES AND (ELECTED) OFFICIALS BY THE COUNTY AUDITOR (ROBERT BERGMAN)  
(HON. ALDEN H. WOLFE, LEGISLATURE)

13. MISCELLANEOUS:

13A) REF. #9126 - ADOPTING THE INVESTMENT POLICY FOR THE COUNTY OF ROCKLAND FOR THE YEAR 2016 AND ADOPTING DEPARTMENT OF FINANCE GUIDELINES [DEPARTMENT OF BUDGET AND FINANCE]  
(STEPHEN F. DeGROAT, CPA, COMMISSIONER OF BUDGET & FINANCE)  
DL#2016-00307

14. RECEIVE & FILE: NONE

15. CORRESPONDENCE/REVIEW AND DISCUSSION: NONE

2/9/16 B & F Agenda  
Darcy Shapin-Greenberg

"The Rockland County Legislature is committed to full compliance with the Americans with Disabilities Act. To that end, the Legislature is committed to creating an accessible environment for all. To request accommodations that you may require, please call Damaris Alvarez at 845-638-5248 (845-708-7899 for TTY/TDD). Please request these accommodations three (3) days in advance so that we can seek to meet your needs."



Introduced by:

**DRAFT**

Referral No. 5906

**RESOLUTION NO. OF 2016  
AWARD OF CONTRACT TO  
NATIONAL WATER MAIN CLEANING CO.  
AND APPROVING AGREEMENT  
FOR A TOTAL CONTRACT SUM NOT TO EXCEED \$1,077,981.85  
FOR THE SEWER SYSTEM MAINTENANCE PROJECT  
CONTRACT SM2016-01 AND  
AUTHORIZING ITS EXECUTION BY THE COUNTY EXECUTIVE  
[ROCKLAND COUNTY SEWER DISTRICT NO. 1]  
(\$1,077,981.85)**

WHEREAS, The Rockland County Sewer District ("Sewer District") advertised for bids for SM2016-01 Sewer System Maintenance Project; and

WHEREAS, This contract is for Sewer System Maintenance in the Town of Clarkstown and the Town of Ramapo which consists of sewer cleaning, televising, testing and sealing of sewer lines, manhole sealing-grout, internal manhole chimney seals and miscellaneous additional work to reduce infiltration and inflow of storm and groundwater into the sanitary sewer system; and

WHEREAS, Two (2) bids were received which were checked and tabulated by the staff of the Sewer District; and

WHEREAS, National Water Main Cleaning Co. has completed similar projects for the Sewer District in the past in a satisfactory manner and was the lower bidder on this contract by a significant amount; and

WHEREAS: Completion of this project will fulfill the rehabilitation of the 126,500 linear feet per year condition that is required by the SPDES permit issued by the NYSDEC; and

WHEREAS, By Resolution No. 57 of 2015 the Board of Sewer Commissioner's awarded Contract SM2016-01 to National Water Main Cleaning Co., 1806 Newark Turnpike, Kearny, New Jersey 07032, in the amount of \$1,077,981.85 for the Sewer System Maintenance Project subject to the approval of the Rockland County Legislature; and

WHEREAS, Sufficient funding for this agreement exists in the 2016 Operating Budget of the Rockland County Sewer District No. 1, SWR-8120-E4380; and

WHEREAS, Local Law No. 18 of 1996 provides for the Legislature to approve "execution of all contracts in excess of \$100,000 entered into by the County;" and

WHEREAS, The Committees of the Legislature have met, considered and approved this resolution, now, therefore, be it

RESOLVED, That the Legislature of Rockland County hereby awards Rockland County Sewer District contract SM2016-01 to the low bidder National Water Main Cleaning Co, in an amount not to exceed \$1,077,981.85; and be it further

RESOLVED, That the Legislature of Rockland County hereby approves an agreement in excess of \$100,000 with National Water Main Cleaning Co., 1806 Newark Turnpike, Kearny, New Jersey 07032, for the Rockland County Sewer District Sewer System Maintenance Project, Contract SM2016-01 in an amount not to exceed \$1,077,981.85, and authorizes its execution by the County Executive, subject to the review of the County Attorney; and be it further

RESOLVED, That sufficient funding for this agreement exists in the 2016 Operating Budget of the Rockland County Sewer District No. 1, SWR-8120-E4380.

DB:dl  
2016-00139  
1/14/16



RESOLVED, That the Legislature of Rockland County hereby approves an agreement in excess of \$100,000 with Upstate Concrete & Masonry Contracting Co., Inc., 449 West Mombasha Road, Monroe, New York 10950 for a total contract amount not to exceed \$254,426, for the Exterior Masonry/Stairs/Concrete Repair Project, Contract RFB-RC-SWR-2015-05, and authorizes its execution by the County Executive, subject to the review of the County Attorney; and be it further

RESOLVED, That sufficient funding for this agreement is provided for in the 2016 Operating Budget of the Rockland County Sewer District No. 1.

DB:dc  
2016-00301  
1-26-16



RESOLVED, That the Legislature of Rockland County hereby approves an agreement in excess of \$100,000 with Fred A. Cook, Jr., Inc., Post Office Box 70, Montrose, New York 10548, for a total contract amount not to exceed \$225,959, for the 2016 Sewer System Maintenance Project, Ramapo Interceptor, Contract RFB-RC-SWR-2016-02, and authorizes its execution by the County Executive, subject to the review of the County Attorney; and be it further

RESOLVED, That sufficient funding for this agreement is provided for in the 2016 Operating Budget of the Rockland County Sewer District No. 1.

DB:dc  
2016-00298  
1-25-16

Introduced by:

**DRAFT**

Referral No. 6394

**RESOLUTION NO. OF 2016  
APPROVING THE PURCHASE IN EXCESS OF \$100,000  
FROM JOE JOHNSON EQUIPMENT, INC.  
OF TWO (2) TRACKLESS MT6 TRACTORS AND  
TWO (2) SPARE TIRES AND RIMS  
FOR THE ROCKLAND COUNTY HIGHWAY DEPARTMENT  
IN THE TOTAL AMOUNT OF \$319,396  
WITH ALL PURCHASES TO BE MADE BY FORMAL PURCHASE ORDER  
UNDER RFB-RC-2015-103  
[DEPARTMENT OF GENERAL SERVICES – DIVISION OF PURCHASING]  
(\$319,396)**

WHEREAS, The Director of Purchasing requested bids for the purchase of two (2) Trackless MT6 tractors for the Rockland County Highway Department under RFB-RC-2015-103; and

WHEREAS, Eighty-nine vendors were notified, fourteen (14) vendors downloaded the solicitation and one (1) response was received; and

WHEREAS, Joe Johnson Equipment, Inc. is the only authorized dealer for the Trackless MT6 Tractor in New York State; and

WHEREAS, The Director of Purchasing determined that Joe Johnson Equipment Inc., 373 Indian Fields Road, Feura Bush, New York 12067 was the lowest responsive, responsible bidder; and

WHEREAS, The Director of Purchasing and the Superintendent of Highways recommend to the County Executive and the Legislature of Rockland County that the County approve the purchase from Joe Johnson Equipment Inc., 373 Indian Fields Road, Feura Bush, New York 12067 of two (2) Trackless MT6 Tractors with two (2) spare tires and rims for the Rockland County Highway Department under RFB-RC-2015-103, for purchases in the total amount of \$319,396; and

WHEREAS, All purchases shall be made by formal purchase order, subject to the approval of the Director of Purchasing; and

WHEREAS, Sufficient funding for these purchases is provided for in the 2016 Adopted Capital Budget, Capital Project No. 3402; and

WHEREAS, Local Law No. 18 of 1996 provides for the Legislature to approve the "execution of all contracts in excess of \$100,000 entered into by the County"; and

WHEREAS, The Committees of the Legislature have met, considered and approved this resolution, now, therefore, be it

RESOLVED, That the Legislature of Rockland County hereby approves the purchase from Joe Johnson Equipment Inc., 373 Indian Fields Road, Feura Bush, New York 12067 of two (2) Trackless MT6 Tractors with two (2) spare tires and rims for the Rockland County Highway Department under RFB-RC-2015-103, for purchases in the total amount of \$319,396, subject to the approval of the Director of Purchasing; and be it further

RESOLVED, That all purchases shall be made by formal purchase order, subject to the approval of the Director of Purchasing; and be it further

RESOLVED, That sufficient funding for these purchases is provided for in the 2016 Adopted Capital Budget, Capital Project No. 3402.

LHG:dc  
2016-00063  
1-25-16



WHEREAS, The Director of Purchasing recommends that the County Executive and the Legislature of Rockland County approve additional purchases of electrical supplies from Swift Electrical Supply, 100 Hollister Road, Teterboro, New Jersey 07608 in the additional amount of \$60,000 for a total amount not to exceed \$179,549.27 from the commencement date March 13, 2013 through March 12, 2017; and

WHEREAS, All purchases will be initiated by formal purchase order, subject to the approval of the Director of Purchasing in accordance with the approved budgets for the department requesting the services; and

WHEREAS, Sufficient funding for these additional purchases is provided for in the 2016 Operating Budgets of the Department of General Services and the Rockland County Sewer District No. 1, and is contingent upon 2017 budget appropriations; and

WHEREAS, Local Law No. 18 of 1996 provides for the Legislature to approve the "execution of all contracts in excess of \$100,000 entered into by the County"; and

WHEREAS, The Committees of the Legislature have met, considered and approved this resolution, now, therefore, be it

RESOLVED, That the Legislature of Rockland County hereby approves purchases in excess of \$100,000 from Swift Electrical Supply, 100 Hollister Road, Teterboro, New Jersey 07608, for electrical supplies for various County of Rockland Departments in the additional amount of \$60,000 for a total amount not to exceed \$179,549.27 from the commencement date March 13, 2013 through March 12, 2017 under RFB-RC-2013-010 and authorizes all purchases to be made by formal purchase order, subject to the approval of the Director of Purchasing; and be it further

RESOLVED, That sufficient funding for these additional purchases is provided for in the 2016 Operating Budgets of the Department of General Services and the Rockland County Sewer District No. 1, and is contingent upon 2017 budget appropriations.

LHG:dc  
2016-00168  
1-25-16



Comprehensive Bituminous Materials (Hot in Place)	Vendor Determined Quick Quote Process NYS OGS Contract at the time of application	Group 31555 - Award 22787	\$860,000
Comprehensive Bituminous Materials (Chip Seal)	Vendor Determined Quick Quote Process under NYS OGS Contract at the time of application	Group 31555 - Award 22787	\$400,000
Comprehensive Bituminous Materials (Micro Seal)	Vendor Determined by Quick Quote Process under NYS OGS at the time of application	Group 31555 - Award 22787	\$750,000

WHEREAS, The County is authorized to use NYS OGS contracts for the procurement of such goods and services; and

WHEREAS, All purchases will be made by formal purchase order, encumbering the funds in advance of the services provided, and shall be in accordance with the approved 2016 Budgets for each County Department which purchases off of these contracts; and

WHEREAS, Local Law No. 18 of 1996 provides for the Legislature to "approve the execution of all contracts in excess of \$100,000 entered into by the County"; and

WHEREAS, The \_\_\_\_\_ and \_\_\_\_\_ Committees of the Legislature have met, considered and approved this resolution, now, therefore, be it

RESOLVED, That the Legislature of Rockland County hereby approves the purchases in excess of \$100,000 under various New York State Office of General Services (OGS) contracts, and their successor contracts (if awarded in 2016), for the period January 1, 2016 through December 31, 2016 in the amounts listed:

Contract Title	Vendor	State Contract Number	Estimated Purchases
Office Supplies	Staples	PC 66026 and successor contract	\$150,000
Industrial and Commercial Supplies and Equipment	W.W. Grainger	PC 67235 and successor contract	\$250,000
Fuel – Gasoline	Global Montello Group	PC 66690 and successor contract	\$700,000

Fuel -- Ultra-Low Sulfur Diesel	Heritagenergy	PC 66703 and successor contract	\$550,000
Fuel - Biodiesel	Sprague Energy	PC 66707 and successor contract	\$150,000
Automotive Supplies	Uni-Select USA	PC 65983 and successor contract	\$250,000
Road Salt	Atlantic Salt, Inc.	PC 67020 and successor contract	\$400,000
Comprehensive Bituminous Materials (Hot in Place)	Vendor Determined Quick Quote Process NYS OGS Contract at the time of application	Group 31555 - Award 22787	\$860,000
Comprehensive Bituminous Materials (Chip Seal)	Vendor Determined Quick Quote Process under NYS OGS Contract at the time of application	Group 31555 - Award 22787	\$400,000
Comprehensive Bituminous Materials (Micro Seal)	Vendor Determined by Quick Quote Process under NYS OGS at the time of application	Group 31555 - Award 22787	\$750,000

and be it further

RESOLVED, That all purchases shall be made by formal purchase order, encumbering the funds in advance of services provided, subject to the approval of the Director of Purchasing, and shall be in accordance with the approved 2016 Budgets for each County Department which purchases off of these contracts.

LHG:vma  
2016-00221  
1/22/16



County approve purchases in excess of \$100,000 from Hush Maintenance Corp., Box 189, West Haverstraw, New York 10993, for electrical services under RFB-RC-2015-020 for the Department of General Services - Facilities Management, for a total contract amount not to exceed \$172,406.61 from the commencement date April 8, 2015 through April 7, 2017; and

WHEREAS, All purchases will be made by formal purchase order, subject to the approval of the Director of Purchasing; and

WHEREAS, Local Law No. 18 of 1996 provides for the Legislature to approve "execution of all contracts in excess of \$100,000 entered into by the County," and

WHEREAS, Sufficient funding for these purchases exists in the 2015 and 2016 Budgets of the Department of General Services-Facilities Management, and are contingent upon 2017 Budget Appropriations.; and

WHEREAS, The Committees of the Legislature have met, considered and approved this resolution, now, therefore, be it

RESOLVED, That the Legislature of Rockland County hereby approves purchases in excess of \$100,000 from Hush Maintenance Corp., Box 189, West Haverstraw, New York 10993, for electrical services under RFB-RC-2015-020 for the Department of General Services - Facilities Management, for a total contract amount not to exceed \$172,406.61 from the commencement date April 8, 2015 through April 7, 2017; and be it further

RESOLVED, That all purchases will be made by formal purchase order, subject to the approval of the Director of Purchasing; and be it further

RESOLVED, That sufficient funding for these purchases exists in the 2015 and 2016 Budgets of the Department of General Services-Facilities Management, and are contingent upon 2017 Budget Appropriations.

LHG:dc  
2016-00064  
1-25-16



WHEREAS, Six (6) competitive proposals for surplus computers were received; and

WHEREAS, The following four (4) agencies submitted requests that met all of the requirements of § 104-c and the RFI including the requirement that they demonstrate the need and specific plans for the use of such equipment: (1) Rockland Independent Living Center; (2) Liberty Learning Tree Dignity Services Inc.; (3) Women Veterans Association of Hudson Valley, Inc.; and (4) Mosdos Sanz Klausenberg of Monsey; and

WHEREAS, The Director of Purchasing requests that the County Executive and the Legislature of Rockland County authorize the following donation of surplus computers and monitors by the County of Rockland to the four (4) agencies that met all of the requirements of § 104-c and the RFI:

- |  |  |
|--|--|
| 1. Rockland Independent Living Center                | 25 Computers with 17" Monitors                                 |
| 2. Liberty Learning Tree Dignity Services Inc.       | 4 Computers with 17" Monitors                                  |
| 3. Women Veterans Association of Hudson Valley, Inc. | 3 Computers with 19" Monitors                                  |
| 4. Mosdos Sanz Klausenburg of Monsey                 | 1 Computer with 19" Monitor<br>and 1 Computer with 17" Monitor |

; and

WHEREAS, The \_\_\_\_\_ Committee of the Legislature has met, considered and approved this resolution, now, therefore, be it

RESOLVED, That the Legislature of Rockland County hereby authorizes the County of Rockland to donate, pursuant to New York General Municipal Law § 104-c, the following surplus computer monitors that are no longer needed to the following four (4) agencies, which met all of the requirements of § 104-c and RFI-RC-2015-002 including the requirement that they demonstrate the need and specific plans for the use of such equipment:

- |  |   |
|--|---|
| 1. Rockland Independent Living Center                | 25 Computers with 17" Monitors                                  |
| 2. Liberty Learning Tree Dignity Services Inc.       | 4 Computers with 17" Monitors                                   |
| 3. Women Veterans Association of Hudson Valley, Inc. | 3 Computers with 19" Monitors                                   |
| 4. Mosdos Sanz Klausenburg of Monsey                 | 1 Computer with 19" Monitor<br>and 1 Computer with 17" Monitor. |

LHG:dc  
2016-00302  
1-27-16





RESOLVED, That the Legislature of Rockland County hereby approves an intermunicipal cooperation agreement with the County of Monroe, for the County of Monroe to provide housing and jail security services to inmates receiving mental health treatment at the Rochester Psychiatric Center located at 1111 Elmwood Avenue, Rochester, New York for the County of Rockland Sheriff's Department for the period January 1, 2016 through December 31, 2020, and authorizing its execution by the County Executive, subject to the approval of the County Attorney, and be it further

RESOLVED, That sufficient funding for the first year of this agreement exists in the 2016 Budget of the Sheriff-Jail (Dept. 3150, line E4350) and funding for subsequent years will be contingent upon appropriations in the 2017, 2018, 2019 and 2020 Budgets of the Sheriff-Jail.

AR:dc  
2015-05873  
1/20/16



amount not to exceed \$584,007 [NCTD] for the calendar year 2016, and hereby authorizes the County Executive to execute the agreement, subject to the approval of the County Attorney; and be it further

RESOLVED, That sufficient funding for the agreement is provided for in the 2016 Budget of the Department of Mental Health.

BB:dc  
2016-00262  
1-25-16

Introduced by:

**DRAFT**

Referral No.

2993B

**RESOLUTION NO. OF 2016  
APPROVING THE AGREEMENT IN EXCESS OF \$100,000  
WITH OPEN ARMS, INC.  
FOR HALFWAY HOUSE SERVICES  
IN THE AMOUNT OF \$528,512 [NCTD]  
FOR THE CALENDAR YEAR 2016  
AND AUTHORIZING THE COUNTY EXECUTIVE  
TO EXECUTE THE AGREEMENT  
[DEPARTMENT OF MENTAL HEALTH]  
(\$528,512)**

WHEREAS, By Resolution No. 548 of 2015, the Legislature of Rockland County approved the acceptance of funding from the New York State Office of Alcohol and Substance Abuse Services (OASAS) to the Rockland County Department of Mental Health (DMH) in the amount of \$528,512 for the calendar year 2016, which is to be distributed to Open Arms, Inc. to provide halfway house services at a Men's Community Residence and a Women's Community Residence; and

WHEREAS, The State Aid required no County tax dollars [NCTD]; and

WHEREAS, By this resolution, the Commissioner of DMH recommends to the County Executive and the Legislature that they approve the agreement in excess of \$100,000 with Open Arms, Inc. in the amount of \$528,512 [NCTD] for these halfway house services for the calendar year 2016; and

WHEREAS, The State approved the distribution of these funds to Open Arms, Inc., and such agency may not be changed at will by the County; and

WHEREAS, Sufficient funding for this agreement is provided for in the 2016 Budget of the Department of Mental Health; and

WHEREAS, Local Law No. 18 of 1996 provides for the Legislature to approve the "execution of all contracts in excess of \$100,000 entered into by the County"; and

WHEREAS, The Committees of this Legislature have met, considered and approved this resolution, now, therefore, be it

RESOLVED, That the Legislature of Rockland County hereby approves the agreement in excess of \$100,000 with Open Arms, Inc. to provide halfway house services at a Men's Community Residence and a Women's Community Residence for a total amount not to exceed \$528,512 [NCTD] for the calendar year 2016, and hereby

authorizes the County Executive to execute the agreement, subject to the approval of the County Attorney; and be it further

RESOLVED, That sufficient funding for the agreement is provided for in the 2016 Budget of the Department of Mental Health.

BB:dc  
2016-00260  
1-28-16



approved this resolution, now, therefore, be it

RESOLVED, That the Legislature of Rockland County hereby approves the agreement in excess of \$100,000 with Community Awareness Network for a Drugfree Life and Environment, Inc. (C.A.N.D.L.E.) for narcotics addiction control and prevention programs for children and adults for a total amount not to exceed \$230,525 [NCTD] for the calendar year 2016, and hereby authorizes the County Executive to execute the agreement, subject to the approval of the County Attorney; and be it further

RESOLVED, That sufficient funding for the agreement is provided for in the 2016 Budget of the Department of Mental Health.

BB:dc  
2016-00259  
1-28-16



Children First After School Program and Families Empowered (CAFE) Case Management Program for a total amount not to exceed \$759,555 [NCTD] for the calendar year 2016, and hereby authorizes the County Executive to execute the agreement, subject to the approval of the County Attorney; and be it further

RESOLVED, That sufficient funding for the agreement is provided for in the 2016 Budget of the Department of Mental Health.

BB:vma  
2016-00333  
1/27/16



RESOLVED, That the Legislature of Rockland County hereby approves the agreement in excess of \$100,000 with NYSARC, Inc., Rockland County Chapter, d/b/a ARC of Rockland, Inc. for a Day Training Program for a total amount not to exceed \$257,514, which includes a local share in the amount of \$128,757, for the calendar year 2016, and hereby authorizes the County Executive to execute the agreement, subject to the approval of the County Attorney; and be it further

RESOLVED, That sufficient funding for the agreement is provided for in the 2016 Budget of the Department of Mental Health.

BB:dc  
2016-00338  
1-28-16



WHEREAS, The  
considered and

Committees of this Legislature have met,  
approved this resolution, now, therefore, be it

RESOLVED, That the Legislature of Rockland County hereby approves the agreement in excess of \$100,000 with Lexington Center for Recovery, Inc. for Chemical Dependence - Medically Supervised Outpatient Clinic and Outpatient Rehabilitation Services, Methadone Treatment Program and Gambling Counseling Services, for a total amount not to exceed \$1,367,305, which includes a local share in the amount of \$535,617, for the calendar year 2016, and hereby authorizes the County Executive to execute the agreement, subject to the approval of the County Attorney; and be it further

RESOLVED, That sufficient funding for the agreement is provided for in the 2016 Budget of the Department of Mental Health.

BB:dc  
2016-00330  
1-28-16



RESOLVED, That the Legislature of Rockland County hereby approves the agreement in excess of \$100,000 with Loeb House, Inc. for the Supported Housing Program, MICA Enhancement Program, a respite/crisis bed program and Direct Service Enhancement, for a total amount not to exceed \$916,894, which includes a local share in the amount of \$9,140, for the calendar year 2016, and hereby authorizes the County Executive to execute the agreement, subject to the approval of the County Attorney; and be it further

RESOLVED, That sufficient funding for the agreement is provided for in the 2016 Budget of the Department of Mental Health.

BB:dc  
2016-00343  
1-28-16



RESOLVED, That the Legislature of Rockland County hereby approves the agreement in excess of \$100,000 with Rockland Hospital Guild, Inc. to provide for Supported Housing, Advocacy/Support Services and Enhanced Staffing for Residential Services for the Deaf for a total amount not to exceed \$752,100 [NCTD] for the calendar year 2016, and hereby authorizes the County Executive to execute the agreement, subject to the approval of the County Attorney; and be it further

RESOLVED, That sufficient funding for the agreement is provided for in the 2016 Budget of the Department of Mental Health.

BB:dc  
2016-00345  
1-28-16



Crisis Intervention Response Team Services for a total amount not to exceed \$849,668 [NCTD] for the calendar year 2016, and hereby authorizes the County Executive to execute the agreement, subject to the approval of the County Attorney; and be it further

RESOLVED, That sufficient funding for the agreement is provided for in the 2016 Budget of the Department of Mental Health.

BB:dc  
2016-00335  
1-28-16



share in the amount of \$194,300, for the calendar year 2016, and hereby authorizes the County Executive to execute the agreement, subject to the approval of the County Attorney; and be it further

RESOLVED, That sufficient funding for the agreement is provided for in the 2016 Budget of the Department of Mental Health.

BB:vma  
2016-00351  
1/28/16



RESOLVED, That the Legislature of Rockland County hereby approves the agreement in excess of \$100,000 with Rockland Council on Alcoholism & Other Drug Dependence, Inc. for prevention services, for a total amount not to exceed \$389,011, which includes a local share in the amount of \$30,660, for the calendar year 2016, and hereby authorizes the County Executive to execute the agreement, subject to the approval of the County Attorney; and be it further

RESOLVED, That sufficient funding for the agreement is provided for in the 2016 Budget of the Department of Mental Health.

BB:dc  
2016-00349  
1-28-16

**DRAFT**

Introduced by:

Referral No.

2973 L

**RESOLUTION NO. OF 2016  
APPROVING THE AGREEMENT IN EXCESS OF \$100,000  
WITH MENTAL HEALTH ASSOCIATION OF ROCKLAND COUNTY, INC.  
FOR COMBINED SERVICES  
IN A TOTAL AMOUNT NOT TO EXCEED \$2,351,557  
WHICH INCLUDES A LOCAL SHARE IN THE AMOUNT OF \$102,077  
FOR THE CALENDAR YEAR 2016  
AND AUTHORIZING THE COUNTY EXECUTIVE  
TO EXECUTE THE AGREEMENT  
[DEPARTMENT OF MENTAL HEALTH]  
(\$2,351,557)**

WHEREAS, By Resolution No. 548 of 2015, the Legislature of Rockland County approved the acceptance of funding from New York State Office of Mental Health (OMH) to the Rockland County Department of Mental Health (DMH) in the amount of \$2,111,510 and from the New York State Office of Alcohol and Substance Abuse Services (OASAS) in the amount of \$137,970, for the calendar year 2016, which is to be distributed to Mental Health Association of Rockland County, Inc.; and

WHEREAS, The OMH funding will be used for Respite, Outreach, Assertive Community Treatment, Family Support, Advocacy, Drop-in-Center, Intensive Case Management, COMPEER, Health Home Care Management, CCSI/Network, Supported Housing, Cornell Residence, PROS, Health Home Non-Medicaid Care Management, Supportive Case Management, Rockland Success Team and Transportation, and the OASAS funding will be used for Recovery Services Medically Supervised Outpatient Clinic; and

WHEREAS, The State Aid required a local share in the amount of \$102,077; and

WHEREAS, By this resolution, the Commissioner of RC DMH recommends to the County Executive and the Legislature that they approve the agreement in excess of \$100,000 with Mental Health Association of Rockland County, Inc. for these combined services for the calendar year 2016, in a total amount not to exceed \$2,351,557, which includes the local share; and

WHEREAS, The State has approved the distribution of these funds to Mental Health Association of Rockland County, Inc., and such agency may not be changed at will by the County; and

WHEREAS, Sufficient funding for the agreement is provided for in the 2016 Budget of the Department of Mental Health; and

WHEREAS, Local Law No. 18 of 1996 provides for the Legislature to approve the "execution of all contracts in excess of \$100,000 entered into by the County"; and

WHEREAS, The \_\_\_\_\_ Committees of this Legislature have met, considered and \_\_\_\_\_ approved this resolution, now, therefore, be it

RESOLVED, That the Legislature of Rockland County hereby approves the agreement in excess of \$100,000 with Mental Health Association of Rockland County, Inc. for combined services, for a total amount not to exceed \$2,351,557, which includes a local share in the amount of \$102,077, for the calendar year 2016, and hereby authorizes the County Executive to execute the agreement, subject to the approval of the County Attorney; and be it further

RESOLVED, That sufficient funding for the agreement is provided for in the 2016 Budget of the Department of Mental Health.

BB:vma  
2016-00341  
1/29/16



RESOLVED, That the Commissioner of Finance is hereby authorized to decrease and increase the following accounts in the amounts indicated:

GENERAL FUND - 2016

Decrease Approp. Acct. (Debit):

A -ENV -8060-E1100	Salaries, Employees	30,000
-E1930	Social Security	2,295
-E1980	MTA Mobility Tax	105

Increase Approp. Acct. (Credit):

A -DSS -6010 -E1100	Salaries, Employees	30,000
-E1930	Social Security	2,295
-E1980	MTA Mobility Tax	105

LHR:VWJ:dc  
2016-00201  
2-1-16

Introduced by:

**DRAFT**

Referral No. 9/26

**RESOLUTION NO.                      OF 2016  
ADOPTING THE INVESTMENT POLICY FOR THE  
COUNTY OF ROCKLAND FOR THE YEAR 2016 AND  
ADOPTING DEPARTMENT OF FINANCE GUIDELINES  
[DEPARTMENT OF BUDGET AND FINANCE]**

WHEREAS, By Resolution No. 668 of 1993, adopted December 7, 1993, the Legislature, in accordance with Sections 6, 10, and 11, of the General Municipal Law, adopted an Investment Policy for the County of Rockland; and

WHEREAS, Section 39, of the General Municipal Law requires that the Legislature annually review and re-adopt said investment policy; and

WHEREAS, The County Executive has referred the attached proposed Investment Policy and the Department of Finance Guidelines to the Legislature for its approval; and

WHEREAS, The                      Committee of the Legislature has met, considered and approved this resolution; now therefore be it

RESOLVED, That in accordance with Section 39 of the General Municipal Law, the Legislature of Rockland County hereby adopts the attached Investment Policy as the Investment Policy for the County of Rockland for the year 2016; and be it further

RESOLVED, That in accordance with said Investment Policy, the Legislature of Rockland County hereby adopts the attached Department of Finance Guidelines for compliance with the Investment Policy; and be it further

RESOLVED, That all depositories of County funds shall file with the Rockland County Legislature, to the attention of the Chairman of the Budget and Finance Committee, three copies of the Community Reinvestment Act compliance documents at the same time that said compliance documents are filed with the Federal Government.

AR:vma  
1/27/15  
2016-00307

## **INVESTMENT POLICY FOR THE COUNTY OF ROCKLAND**

### **I. SCOPE**

This investment policy applies to all moneys and other financial resources available for investment on its own behalf or on behalf of any other entity or individual.

### **II. OBJECTIVES**

The primary objectives of the local government's investment activities are, in priority order:

- to conform with all applicable federal, state and other legal requirements (legal);
- to adequately safeguard principal (safety);
- to provide sufficient liquidity to meet all operating requirements (liquidity); and
- to obtain a reasonable rate of return (yield).

### **III. DELEGATION OF AUTHORITY**

The governing board's responsibility for administration of the investment program is delegated to the Commissioner of Finance, who shall establish written procedures for the operation of the investment program consistent with these investment guidelines and which shall be approved annually by the Rockland County Legislature. Such procedures shall include an adequate control structure to provide a satisfactory level of accountability based on a database or records incorporating description and amounts of investments, transaction dates, and other relevant information and regulate the activities of subordinate employees.

### **IV. PRUDENCE**

All participants in the investment process shall seek to act responsibly as custodians of the public trust and shall avoid any transaction that might impair public confidence in the County of Rockland to govern effectively.

Investments shall be made with judgment and care, under circumstances then prevailing, which persons of prudence discretion and intelligence exercise in the management of their own affairs, not for speculation, but for investment, considering the safety of the principal as well as the probable income to be derived. All participants involved in the investment process shall refrain from personal business activity that could conflict with proper execution of the investment program, or which could impair their ability to make impartial investment decisions.

**V. DIVERSIFICATION**

It is the policy of the County of Rockland to diversify its deposits and investments by financial institutions, by investment instruments, and by maturity scheduling.

**VI. INTERNAL CONTROL**

It is the policy of the County of Rockland for all money collected by any officer or employee of the government to transfer those funds to the Commissioner of Finance immediately, or within the time period specified by law. The Commissioner of Finance shall advise the legislature if funds are not timely transferred. The Commissioner of Finance is responsible for establishing and maintaining an internal control structure to provide reasonable, but not absolute, assurance that deposits and investments are safeguarded against loss from unauthorized use or disposition, that transactions are executed in accordance with management's authorization and recorded properly, and are managed in compliance with applicable laws and regulations.

**VII. DESIGNATION OF DEPOSITORIES**

The banks, dealers and trust companies authorized for the deposit of monies, or purchase of permitted investments, up to the maximum amount of **\$110,000,000** are:

**HSBC/First Niagara Bank, N.A. Citibank, NA**  
**Wells Fargo Bank, N.A. Capital One**  
**JP Morgan Chase Bank, N.A. M & T Bank**  
**Key Bank TD Bank**  
**Sterling National Bank Citizens Bank, N.A.**  
**Greater Hudson Bank**

The above-mentioned depositories shall provide to the Commissioner of Finance not later than November 30<sup>th</sup> of each year, a letter describing their level of compliance with the United States Community Reinvestment Act, stating how they plan to meet the neighborhood banking needs of Rockland's economically underprivileged communities. Within thirty (30) days of receipt the Commissioner of Finance shall provide copies of these responses to the County Executive and the Chairman of the Legislature. The Commissioner of Finance shall be responsible to communicate these reporting requirements of the County Policy to the Depository Banks.

#### **VIII. COLLATERALIZING OF DEPOSITS**

In accordance with the provisions of General Municipal Law, Sec. 10, all deposits of the County of Rockland, 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:

1. By a pledge of "eligible securities" with an aggregate "market value" as provided by GML Sec. 10, equal to the aggregate amount of deposits from the categories designated in Appendix A to this policy.
2. By an eligible "irrevocable letter of credit" issued by a qualified bank other than the bank with the deposits in favor of the government for a term not to exceed 90

days with an aggregate value equal to 140% of the aggregate amount of deposits and the agreed upon interest, if any. A qualified bank is one whose commercial paper and other unsecured short-term debt obligations are rated in one of the three highest rating categories by at least one nationally recognized statistical rating organization or by a bank that is in compliance with applicable federal minimum risk-based capital requirements.

3. By an eligible surety bond payable to the government 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 rating category by at least two nationally recognized statistical rating organizations.

**IX. SAFEKEEPING AND COLLATERALIZATION**

Eligible securities used for collateralizing deposits shall be held by the depositary and/or a third party bank or trust company subject to security and custodial agreements. The security agreement shall provide that eligible securities are being pledged to secure local deposits together with agreed upon interest, if any, and any costs or expenses arising out of the collection of such deposits upon default. It shall also provide the conditions under which the securities may be sold, presented for payment, substituted or released and the events which will enable the local government to exercise its rights against the pledged securities. In the event that the securities are not registered or inscribed in the name of the local government, such securities shall be delivered in a form suitable for transfer or with an assignment in blank to the County of Rockland or its custodial bank. The custodial agreement shall provide that securities held by the bank or trust company, or agent of and custodian for, the local government, will be kept separate and apart

from the general assets of the custodial bank or trust company and will not, under any circumstances, be co-mingled with or become part of the backing for any other deposit or other liabilities. The agreement should also describe that the custodian shall confirm the receipt, substitution or release of the securities. The agreement shall provide for the frequency of revaluation of eligible securities and for the substitution of securities when a change in the rating of a security may cause ineligibility. Such agreement shall include all provisions necessary to provide the local government a perfected interest in the securities.

**X. PERMITTED INVESTMENTS**

As authorized by General Municipal Law, Sec. 11, the County of Rockland authorizes the Commissioner of Finance to invest moneys not required for immediate expenditure for terms not to exceed its projected cash flow needs in the following types of investments:

- Special time deposit accounts;
- Certificates of deposits;
- Obligations of the United States of America;
- Obligations guaranteed by agencies of the United States of America where payment of principal and interest are guaranteed by the United States of America;
- Obligations of the State of New York;
- Obligations issued pursuant to LFL Sec. 24.00 or 25.00 (with approval of the State Comptroller) by any municipality, school district or district corporation other than the County of Rockland;
- Certificates of Participation (COPs) issued pursuant to GML Sec. 109-b;
- Obligations of this local government, but only with any moneys in a reserve fund established pursuant to GML Sec. 6-c, 6-e, 6-g, 6-h, 6-j, 6-k, 6-m or 6-n.

All investment obligations shall be payable or redeemable at the option of the County of Rockland within such times as the proceeds will be needed to meet expenditures for purposes for which the moneys were provided and, in the case of obligations purchased with the proceeds of bonds or notes, shall be payable or redeemable at the option of the County of Rockland within two years of the date of purchase.

**XI. AUTHORIZED FINANCIAL INSTITUTIONS and DEALERS**

The County of Rockland shall maintain a list of financial institutions approved for investment purposes and establish appropriate limits to the amount of investments which can be made with each financial institution. All financial institutions with which the local government conducts business must be credit worthy. Security dealers not affiliated with a bank shall be required to be classified as reporting dealers affiliated with the Federal Reserve Bank, as primary dealers. The Commissioner of Finance is responsible for evaluating the financial position and maintaining a listing of proposed depositories, trading partners and custodians. Such listing shall be evaluated at least annually.

**XII. PURCHASE OF INVESTMENTS**

The Commissioner of Finance is authorized to contract for the purchase of investments:

1. Directly, including through a repurchase agreement, from an authorized trading partner.
2. By participation in a cooperative program with another authorized governmental entity pursuant to Article 5G of the requirements set forth in the Office of the State Comptroller Opinion No. 88-46, and the specific program has been authorized by the governing board.

3. By utilizing an ongoing investment program with an authorized tracking partner pursuant to a contract authorized by the governing board. All purchased obligations, unless registered or inscribed in the name of the local government, shall be purchased through, delivered to and held in the custody of a bank or trust company.

Such obligations shall be purchased, sold or presented for redemption or payment by such bank or trust company, only in accordance with prior written authorization from the officer authorized to make the investment. All such transactions shall be confirmed in writing to the County of Rockland by the bank, or trust company. Any obligation held in the custody of a bank or trust company shall be held pursuant to a written custodial agreement as described in General Municipal Law, Sec. 10. The custodial agreement shall provide that securities held by the bank or trust company, as agent of and custodian for, the local government, will be kept 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 backing for any other deposit or other liabilities. The agreement shall describe how the custodian shall confirm the receipt and release of the securities. Such agreement shall include all provisions necessary to provide the local government a perfected interest in the securities.

### **XIII. REPURCHASE AGREEMENTS**

Repurchase agreements are authorized subject to the following restrictions:

- All repurchase agreements must be entered into subject to a Master Repurchase Agreement.
- Trading partners are limited to banks or trust companies authorized to do business in New York and primary reporting dealers.

- Obligations shall be limited to obligations of the United States of America and obligations guaranteed by agencies of the United States of America.
- No substitution of securities will be allowed.
- The custodian shall be a party other than the trading partner.

**XIV. ADOPTION OF INVESTMENT POLICY**

- By February 15<sup>th</sup> of each year, the Commissioner of Finance shall submit the suggested investment policy to the Legislature of Rockland County.
- The Legislature shall adopt said policy by April 1<sup>st</sup> of each year.

**DEPARTMENTAL GUIDELINES FOR COMPLIANCE  
WITH INVESTMENT POLICY**

The objectives of the Investment Policy of the County of Rockland are to protect the safety of principal; to insure that investments mature when the cash is required to finance operations; and to insure a competitive rate of return. The Commissioner of Finance, or his designee, shall adhere to the guidelines established in the adopted Investment Policy. The following are the procedures established to insure compliance with the investment policy:

1. A cash flow statement shall be prepared from the annual budget as adopted by the County Legislature. The Cash Flow statement shall be updated as required to reflect cash needs during the year. An analysis of daily receipts and scheduled disbursements shall be used in order to insure cash to meet current financial obligations.
2. As cash becomes available for investment, all designated banks shall be called to obtain bank rate quotes. Call sheets shall be prepared, noting the bank to whom the call was made, and the banks rate quote.
3. Award to banks shall be made by 11:00 am of the day that quotes are taken, unless circumstances prevent same.
4. Utilize wire transfers of funds to and from the successful banks, whenever cost effective and practicable.
5. Notify any bank requesting same the quotes of that day.
6. The Commissioner of Finance, or his designee, are the authorized individuals to make the investments.

7. To insure internal control, the following functions shall be performed by different department personnel:
  - a. Obtaining quotes from the banks;
  - b. Preparation of wire transfers as required;
  - c. Preparation of daily balances by banks;
  - d. All transactions reviewed by the Commissioner of Finance or his designee on a periodic basis.
8. All awards should be consummated in writing with the banks.
9. A daily schedule of investments shall be maintained to ensure that no one institution receives more than the designated amount, and that necessary collateral is pledged.

## **APPENDIX A**

### **SCHEDULE OF ELIGIBLE SECURITIES**

- ◆ Obligations issued, or fully insured or guaranteed as to the payment of principal and interest, by the United States of America, an agency thereof or a United States government sponsored corporation.
- ◆ Obligations partially insured or guaranteed by any agency of the United States of America, at a proportion of the Market Value of the obligation that represents the amount of the insurance or guaranty.
- ◆ Obligations issued or fully insured or guaranteed by the State of New York, obligations issued by a municipal corporation, school district or district corporation of such State, or obligations of any public benefit corporation which under a specific State statute may be accepted as security for deposit of public moneys.
- ◆ Obligations of counties, cities and other governmental entities of a state other than the State of New York having the power to levy taxes that are backed by the full faith and credit of such governmental entity and rated in one of the three highest rating categories by at least one nationally recognized statistical rating organization.