

# City of Albany

# Purchasing & Procurement

# Policy & Procedure Manual

Version 1.4

Last Updated March 2024



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## Policy Statement

The purpose of this manual is to codify policies, standard operating procedures, best practices, and rules related to the purchasing and procurement process. This manual should be used as a training and reference guide for all City officials and employees whose job function entails participating in the purchasing and procurement process.

The acquisition of necessary materials, supplies, equipment, and services for use by City departments represents a significant expenditure of public funds. These services and items must be procured in the most efficient and economical manner possible. The ultimate goal of the purchasing process is to ensure that the right items or services are provided in the right quantity, to the right place, at the right time, and at the right price. It is, therefore, essential that the purchasing policy and procedures of the City be clearly established, understood, and observed by all concerned.

If you have any questions regarding the content contained in this manual, you may contact the Purchasing Office by sending an email to [COAPurchasing@AlbanyNY.gov](mailto:COAPurchasing@AlbanyNY.gov).

## Glossary

**Accounts payable:** Money owed to a vendor or supplier of a good or service.

**Acquisition:** A good or service that is purchased and obtained.

**Award:** The decision to enter into a contract with a vendor or supplier.

**Bidder:** A person or organization making a formal offer.

**Bid specifications:** A written standard, precedent, or qualities desired which must be met before a contract is awarded. Bid specifications are also commonly referred to as bid specs, which is an outline of the scope of a project.

**Competitive bidding:** A procurement practice that involves multiple vendors or service providers to submit offers for any particular material or service.

**Contract:** A legally-binding, written agreement between a buyer and a seller in which the buyer agrees to purchase goods or services from the seller in exchange for payment.

**Contracted services:** The hiring of a third-party to work or perform services. May include the purchase of goods which the third-party acquired in order to complete the services.

**Contract number:** An individualized number that is assigned to all executed contracts.

**Cooperative procurement agreements:** A written contract procured for the benefit of two or more governmental entities to make purchases of goods or services.

**DBE:** Disadvantaged Business Enterprise holding such designation from a New York State or Federal Agency.

**Down-time:** A period of time when a good or service is unavailable, usually due to supply chain issues.

**Emergency:** An accident, unforeseen occurrence or condition that requires immediate action.

**Encumbered:** Funding that has been removed from the general ledger account and has been set aside for a specific purchase, but has not yet been spent.

**Expensed:** Funding that has been spent on a good or service.

**Furniture & fixtures:** Large items that are not permanently affixed to a building and are easily removable from their respective locations.

**General ledger:** A series of accounts used to keep track of all financial transactions.

**Invoice:** A document sent to the City by a vendor or contractor identifying a financial transaction for which the City owes payment. An invoice commonly contains a description of the good or service, the price, and quantity (if applicable). A more commonly used term for an invoice is a bill.

**Lowest responsible bidder:** The responsible bidder that is fully compliant with the requirements and terms of the competitive selection document and that submits the lowest price(s) or cost(s).

**MWBE:** Minority/Women-owned Business Enterprise.

**New World ERP:** The software program utilized by the City for financial management and human resources data management. This program is the primary accounting system the City uses for tracking its finances, including all levels of the purchase order process.

**Office equipment:** Large, movable, and functional equipment used to furnish an office.

**Piggybacking:** When the City uses an existing contract to acquire the same commodities or services at the same or lower price from another public entity contract. For example: using a State or County contract.

**Price quote:** A written or verbal estimate of the price of a good or service, provided to the City by the vendor.

**Professional services:** Sourcing or buying of services from a professional or companies in advisory or service industries such as architecture, law, accounting/financial advisory and other types of consultancy.

**Proposer:** A person or business who has submitted a bid or proposal which conforms in all material respects to a request for quotes, qualifications, bids, or proposals.

**Public works projects:** Non-professional services that include alteration, repair, or improvement of any public structure, building, road, etc.

**Purchase order:** An official document issued by the City committing to pay a vendor or contractor for the sale of specific product or service to be delivered in the future.

**Reimbursement:** Money paid to an employee as repayment for a business expense.

**Replacement equipment:** An asset expected to last and be used for more than one year that is being replaced because it is no longer usable due to being broken or out of commission for some other reason.

**RFB (Request for Bids):** Inviting a potential supplier to take part in the bidding process, where price is the primary consideration.

**RFP (Request for Proposals):** A business document that announces a project, describes it, lists term and conditions, and solicits bids from qualified vendors.

**RFQ (Request for Qualifications):** An informal process for asking potential proposers to detail their background and experience providing a specific good or service.

**RFQ (Request for Quotes):** Prequalification stage of the procurement process for professional services in which the City requests that vendors submit how much money they would charge the City if they were to provide a specific good or service.

**SDVOB:** Service Disabled Veteran Owned Business holding such designation from a New York State agency.

**Single Source:** Two or more vendors can supply the commodity, technology and/or perform the services required, but one vendor is selected over the others for reasons such as expertise or previous experience with similar contracts.

**Sole Source:** There is only one person or company that is able to provide the contractual service need, and any attempts to obtain bids would only result in the one person or company being able to meet the need.

**Supplies & materials:** Regularly used items that are expensed with use and need replenishment.

**Supporting documentation:** Required documentation to provide reasonable assurance that a transaction was undertaken in accordance with internal and external legislation, regulations, policies, and good business practices. Some examples of supporting documentation include a copy of the contract, agreements, purchase justification form, and any other documentation that outlines prices. This is also commonly referred to as backup documentation.

**W-9 form:** Request for Taxpayer Identification Number and Certification. This form is required to be filed with the IRS for new vendors and if a vendor's information has changed.

## Applicable Laws, Guidance & Resources

### Laws:

- [Albany City Code Part 10 - Board of Contract & Supply](#)
- [General Municipal Law Section 103 - Advertising & Contracts](#)
- [General Municipal Law Section 104 - Public Contracts](#)
- [NYS Finance Law Section 162 - Preferred Sources](#)
- [NYS Finance Law Section 163 - Purchasing Services & Commodities](#)
- [NYS Second Class Cities Law Section 120 - Board of Contract & Supply](#)

### Guidance/Resources:

- [NYS OGS Preferred Source Guidelines](#)
- [NYS OGS List of Preferred Source Offerings](#)
- [NYS OGS Centralized Contracts](#)
- [NYS OGS Centralized Contract Awards List](#)
- [NYS OGS Mini-bid Guidelines](#)
- [NYS OGS State Term Contracts by Group Number](#)
- [NYS Comptroller Local Government Management Guide](#)
- [NYS Comptroller Opinion 90-45 - Standardization](#)
- [NYS Comptroller Opinion 98-8 - Preferred Source](#)

### New York State's Preferred Source Organizations:

- [NYS Division of Correctional Industries \(Corcraft\)](#)
- [NYS Preferred Source Program for New Yorkers Who Are Blind \(NYSPSP\)](#)
- [NYS Industries for the Disabled \(NYSID\)](#)

## General Ledger (GL) Accounts

### 7210 – Furniture & Fixtures

- **Definition:** Large items that are not permanently affixed to a building and are easily removable from their respective locations.
- **Examples of what qualifies for this GL account:**
  - Bookcases
  - Chairs
  - Desks
  - Filing cabinets
  - Tables

### 7220 – Office Equipment

- **Definition:** Large, movable, and functional equipment used to furnish an office.
- **Examples of what qualifies for this GL account:**
  - Chairs
  - Desks
  - Tables
  - Printers
  - Devices
  - Appliances
- **Note:** If a department does not have a Furniture & Fixtures line, this Office Equipment line should be used instead.

### 7250 – Other Equipment

- **Note:** If a department does not have an Office Equipment line or a Motor Vehicle Expense line, this Other Equipment line should be used.

### 7258 – Replacement Equipment

- **Definition:** An asset expected to last and be used for more than one year that is being replaced because it is no longer usable due to being broken or out of commission for some other reason.

## 7410 – Supplies & Materials

- **Definition:** Regularly used items that are expensed with use and need replenishment.
- **Examples of what qualifies for this GL account:**
  - Pens
  - Pencils
  - Note pads
  - Post-its
  - Printer ink

## 7412 – Uniforms

- **Definition:** Clothing or adornments that are displayed on clothing.
- **Examples of what qualified for this GL account:**
  - Headwear; patrol baseball hat
  - Shirts; patrol polo shirt
  - Gloves; uniform white dress gloves
  - Embroidered patch
- **Note:** Not all departments have a GL line designated for uniforms. In this instance, the department should use the Other Equipment line (or Supplies and Materials line if the department does not have an Other Equipment line).

## 7420 – Utilities

- **Definition:** Supply of electricity, gas, cable, internet, communication, etc.
- **Examples of what qualified for this GL account:**
  - National Grid gas
  - National Grid electric
  - Verizon data usage
  - Verizon device lease
- **Note:** National Grid products such as maps and blueprints should use the Supplies and Materials line. Newly purchased devices and accessories should use the Other Equipment line (or Supplies and Materials line if the department does not have an Other Equipment line).

## 7429 – Motor Vehicle Expense

- **Definition:** Expenses that are associated with a motor vehicle.
- **Examples of what qualifies for this GL account:**
  - Repairs
  - Tire replacement
  - Insurance
  - Registration fees
  - Licenses
  - Depreciation or lease payments

## 7440 – Contracted Services

- **Definition:** The hiring of a third-party to work or perform services. May include the purchase of goods which the third-party acquired in order to complete the services.
- **Examples of what qualifies for this GL account:**
  - Website services
  - Elevator maintenance
  - Snow management services
  - HVAC and temperature control inspections and services
- **Note:** The City currently uses this line for services offered that may or may not have a contract. For services that do not have a contract, this line is used instead of the Miscellaneous line.

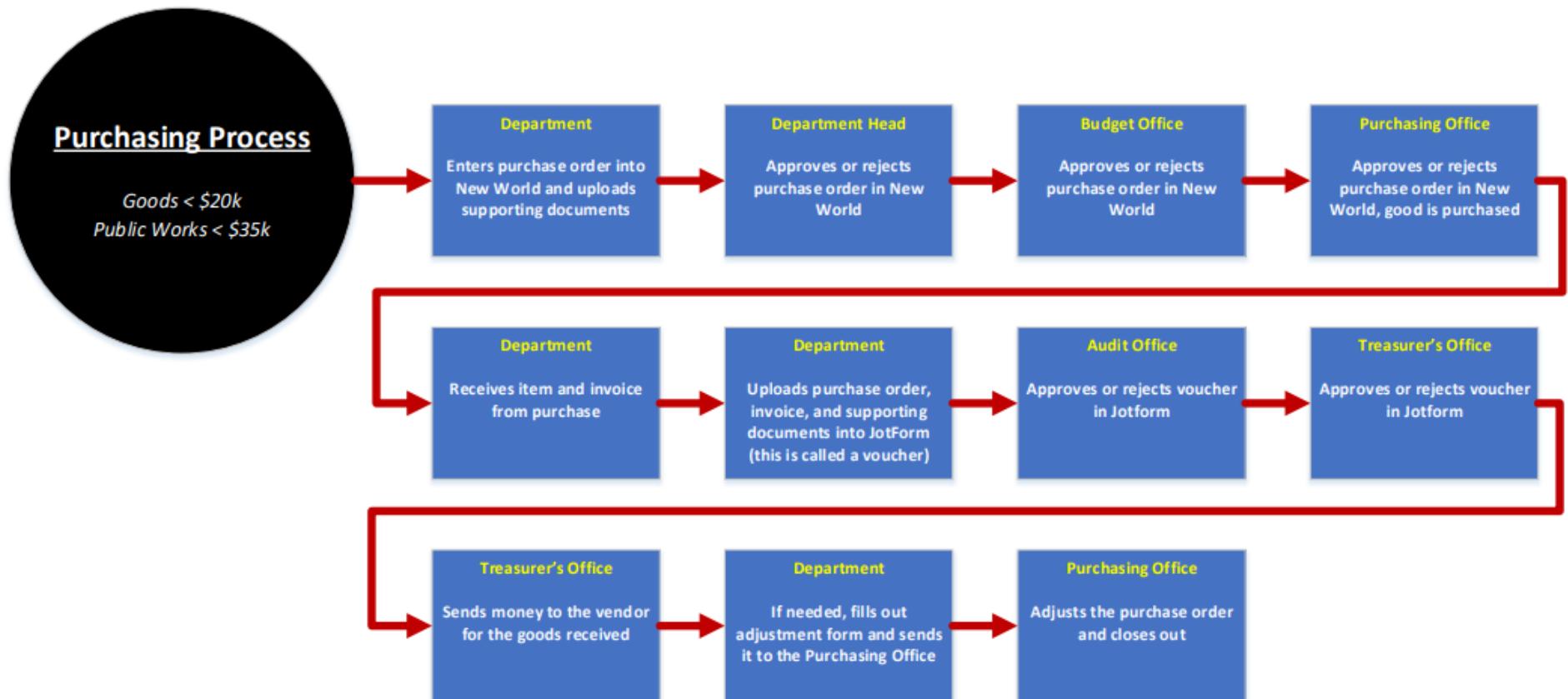
## 7460 – Miscellaneous

- **Definition:** Catch-all for purchases that are not covered by other GL accounts.
- **Note:** Most purchases are covered under a different GL account. This line should only be used in the rare case of a purchase not falling under a different GL account. The Purchasing Office will deny a purchase order if the Miscellaneous line is used rather than the appropriate GL account.

## 7461 – Travel Expenses

- **Definition:** Expenses that are incurred for the purpose of conducting business-related activities.
- **Examples of what qualified for this GL account:**
  - Gasoline
  - Hotel room
  - Food
  - Plane tickets

## Purchasing Process



## Types of Purchase Orders

### Standard

- **Definition:** Any one time item(s) or service request. These purchase orders are required to have price quotes, contract numbers, and/or an agreement attached.
- **Examples of what qualifies under this purchase order type:**
  - Printer paper
  - Ink cartridges
  - Office equipment
  - One-time service request

### Blanket

- **Definition:** Items that are considered to be of immediate need in order to prevent down time of equipment or services, which are under a City or State contract, NYS preferred source, or piggybacking under another authorized contract, for purchases that are repetitive from one particular vendor that are under the dollar threshold.
- **Examples of what qualifies under this purchase order type:**
  - Mileage reimbursements for employees who regularly use their personal vehicle for work purposes (For example: Code Enforcement and Assessment)
  - Rental equipment
  - Parts that are routinely needed
  - Emergency supplies and materials
- **Example of what does not qualify under this purchase order type:**
  - Requests for any specific quantity of an item

### Bond

- **Definition:** Used only when the department is using bonded funds to procure commodities or services. These purchase orders are required to have price quotes, contract numbers, and/or an agreement attached. This is the only purchase order type where year issued does not limit its use.
- **Examples of what qualifies under this purchase order type:**
  - Capital projects and investments, including equipment and vehicles
  - Any purchase orders that are drawn from accounts starting with GH or BW. Note: Not all BW accounts are bond accounts.

## Direct Claim

- **Definition:** For purchases that may or may not result in an invoice. Final pricing may vary or be contingent on factors or variables related to the service being rendered.
- **Examples of what qualifies under this purchase order type:**
  - Reimbursements
  - Trainings
  - Classes
  - Conferences
  - Memberships
  - Per diem
  - Mileage reimbursements for employees who *rarely* use their personal vehicles for work purposes
  - Subscriptions

## Short Warrant

- **Definition:** For the purchase of goods and commodities that can be processed without inputting a purchase order in New World ERP. Instead, a voucher and supporting documentation must be submitted to the Office of Audit and Control.
- **Examples of what qualifies under this purchase order type:**
  - Utilities
  - Insurance payments
  - Tax payments
  - Refunds
  - Postage
  - Invoices received for a previous year, when the previous year's books have been closed

## Confirming Order

- **Definition:** Used when a product or service was obtained by the department without prior approval and the issuance of a purchase order. A confirming order is not preferred and should only be used in cases of emergency. Submitting a confirming order is subject to approval by the Purchasing and Audit Offices, and is not a guarantee of payment. The Purchasing and Audit Offices reserve the right to deny confirming orders if they are submitted by a department for a non-emergency purpose.

## Thresholds for Soliciting Quotes

If you are submitting a purchase order in New World ERP and the good or service is covered under a contract, you must either reference the contract number and/or attach the contract when inputting the purchase order. This also applies to state contracts and cooperative procurement agreements. Not providing this information will result in the delayed approval of your purchase order, and in some cases may result in the denial of your purchase order.

[General Municipal Law Section 103.1](#) states “Purchases of commodities, services or technology shall not be artificially divided for the purpose of satisfying the discretionary buying thresholds established by this subdivision. A change to or a renewal of a discretionary purchase shall not be permitted if the change or renewal would bring the reasonably expected aggregate amount of all purchases of the same commodities, services or technology from the same provider within the twelve-month period commencing on the date of the first purchase to an amount greater than the discretionary buying threshold amount.” This means that it is against the law to split up purchase orders in an effort to evade monetary thresholds which require the solicitation of quotes. This includes submitting a purchase order and then requesting an increase which brings the monetary amount of the purchase order into a different threshold category. If you initially put in a purchase order and it did not require quotes, but then you increased it and it now falls into a threshold that requires quotes, you must obtain quotes. Failure to do so will result in your increase request being denied by the Purchasing Office.

The tables below outline thresholds for purchases and the proper procedure to follow. If your purchase falls under one of the categories requiring quotes, see the “Soliciting a Quote” section of this manual for more information.

### Public Works Projects/Contracts

Dollar Limit	Procedure
<b>\$10,000 or less</b>	At the discretion of the Department Head, subject to the approval of the Purchasing Director
<b>Greater than \$10,000, up to \$35,000</b>	Written quotes from at least <b>three</b> separate vendors, if available.* If a vendor is a certified MWBE, DBE, or SDVOB, an award may be made at the discretion of the Department Head, subject to the approval of the Purchasing Director.
<b>Greater than \$35,000</b>	Sealed bids in conformance with <a href="#"><u>General Municipal Law Section 103</u></a>

## All Other Purchases / Contracts

Dollar Limit	Procedure
<b>\$10,000 or less</b>	At the discretion of the Department Head, subject to the approval of the Purchasing Director
<b>Greater than \$10,000, up to \$20,000</b>	Written quotes, or proposals if applicable, from at least <b>three</b> separate vendors, if available.* If a vendor is a certified MWBE, DBE, or SDVOB, an award may be made at the discretion of the Department Head, subject to the approval of the Purchasing Director.
<b>Greater than \$20,000</b>	Sealed bids, or proposals if applicable, in conformance with <a href="#">General Municipal Law Section 103</a>

\* Note: It is a rare instance for a department to not be able to obtain the required number of quotes. In these instances, the department is responsible for documenting and submitting proof that they attempted to solicit the required number of quotes.

## Aggregate Thresholds

In many instances, the first step in the competitive process is to analyze proposed procurements and determine whether the monetary threshold will be exceeded. In determining whether the threshold will be exceeded, the City must consider the aggregate amount reasonably expected to be expended for all purchases of the same commodities, services, or technology to be made within the calendar year (January 1 – December 31), whether from a single vendor or multiple vendors. Commodities, goods, or services that are similar or essentially interchangeable should be considered as the “same” for this purpose. Monetary thresholds may not be avoided by artificially splitting or breaking up contracts into lesser agreements, or entering into a series of agreements, to achieve sums below the dollar thresholds.

Example: Copy paper is purchased throughout the year and purchased from more than one vendor. Vendor A is projected to supply \$14,500 in copy paper and vendor B is projected to supply \$10,000 in copy paper. Because the aggregate purchase of the copy paper for the calendar year is estimated to be in excess of \$20,000, competitive bidding or a competitive offering is required for these purchases, unless one of the exceptions from the “Exceptions to Procurement Procedures” section of this manual applies.

To see a step-by-step guide on how to check aggregate thresholds, see the “New World ERP Inquiries & Reports” section of this manual. Please note that most departments will only be able to see the aggregate thresholds for their department, not for the entire City. If you would like to see the aggregate thresholds for the entire City, contact the Purchasing Office for assistance by emailing [COAPurchasing@AlbanyNY.gov](mailto:COAPurchasing@AlbanyNY.gov).

## Soliciting a Quote

### Do I Need Quotes?

The cumulative amount of money spent or encumbered to a single vendor by all departments is how we determine whether we need to obtain quotes. Prior to putting in a purchase order, you will need to look in New World ERP to see if the City as a whole has spent or encumbered enough money that would require us to obtain quotes. For more information on how to do this see the “Thresholds for Soliciting Quotes” section of this manual (Aggregate Thresholds). Three written quotes, or proposals if applicable, are required for purchase orders if one of the following is true:

1. The dollar amount of the contract being awarded is greater than \$10,000, but less than the applicable \$20,000 / \$35,000 statutory threshold, and the vendor is not a MWBE, DBE, or SDVOB
2. The vendor being considered is not a MWBE, DBE, or SDVOB, has already been awarded a contract, and the new award will increase the aggregate threshold above \$10,000, but less than the applicable \$20,000 / \$35,000 statutory threshold.

Awards over the \$20,000 / \$35,000 statutory thresholds must be awarded through a formal competitive bidding process. Please see ‘Request for Qualifications/Quotes, Bids, and Proposals’ section on page 24.

### How to Obtain Quotes

There is no established standard on soliciting quotes from vendors. The majority of departments request quotes for goods and services through email and telephone calls. If quotes are received via telephone conversations, an email with the vendor confirming the details of the call must be included with the purchase order request.

The City prioritizes doing business with local businesses whenever possible, prices permitting. Aside from selecting vendors who can meet their needs, departments should also be aware of and communicate with other departments to determine if there are opportunities to consolidate requests and capitalize on bulk purchasing to save money.

For your purchase order to not be denied by the Purchasing Office, all quotes must be for the same number of items. (For example: If one vendor is quoting you for five units of something, all other quotes also must be quoted for five units. The Purchasing Office will not accept quotes if they are not consistent with one another).

## Preferred Sources

If the goods or services you seek are offered by a New York State preferred source organization (Corcraft, NYSPSP, NYSID), are included in a New York State contract that allows for piggybacking, or is part of a national cooperative agreement, quotes are not needed. For more information on how to determine if one of these exceptions apply to you, see the “Applicable Laws, Guidance & Resources” section of this manual. Even if one of these exceptions apply to you, supporting documentation still needs to be attached to the purchase order in New World ERP. Supporting documentation includes a copy of the contract, agreements, or any other documentation which outlines prices.

## Certified Business Enterprises

Below are links to the pertinent webpages where the City and State certified business enterprise directories are located.

City of Albany MWBE Directory - <https://www.albanyny.gov/332/Minority-Women-Owned-Business-Enterprise>

NYS MWBE Directory - <https://ny.newnycontracts.com/FrontEnd/searchcertifieddirectory.asp>

NYS DBE Directory - <https://nysucp.newnycontracts.com>

NYS SDVOB Directory - <https://sdves.ogs.ny.gov/business-search>

## Levels of Purchase Order Approval

There are multiple levels of purchase order approval that occur prior to the purchase order being issued and the good or service being rendered. There are three different structures of purchase order approval, depending on the department. Police and IT have their own structure of purchase order approval, and then there is a general structure that is used for all other departments. Every purchase order, regardless of department, starts at the Entry level and ends with the Budget and Purchasing levels. Note: You will see a number listed before each level (for example: “1-Entry”). You can disregard this numbering system, as it only has to do with the inner workings of the system.

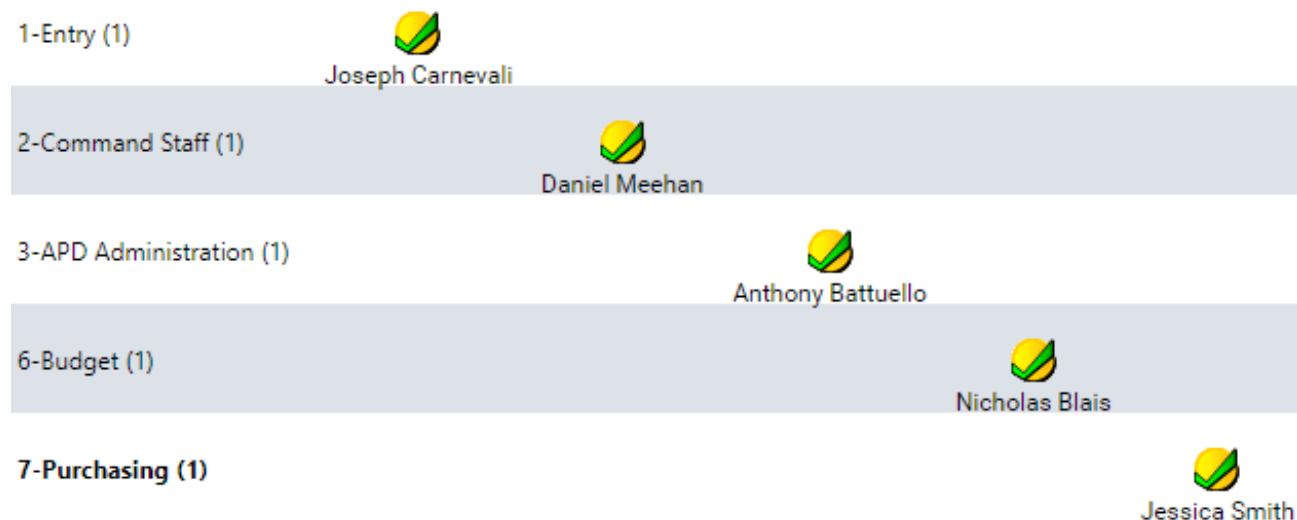
## General

The general structure of approval for purchase orders is shown below. This is the structure that is most common and is used for all departments, with the exception of the Police and IT departments. The four levels of a general structure including the person from the department who initiated the purchase order, the department approver, an employee in the Budget Office, and lastly an employee in the Purchasing Office. Once the Purchasing Office has approved the purchase order the department is officially cleared to acquire that good or service.



## Police Department

The Police Department's purchase order structure differs from the general structure, as it includes three employees at the department level rather than only two. These three employees include the person initiating the purchase order, a member of the command staff, and a member of the administration. The last two approval levels are the Budget and Purchasing Offices.



## IT Department

The IT Department has the smallest structure in regard to purchase order approvals. The only employees who are involved in the IT Department's purchase order approval process include the employee initiating the purchase order, an employee in the Budget Office, and lastly an employee in the Purchasing Office.

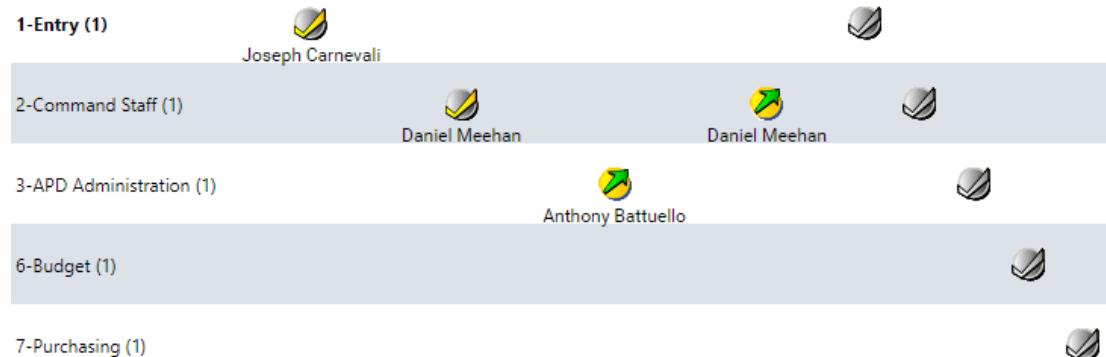


## Purchase Order Denial

Below are three examples of cases where a purchase order was either sent back to the entry level for correction or denied. Note: Only the entry and purchasing levels can make changes to a purchase order.

### Example 1:

The image below shows that Joseph entered the purchase order. Then it was approved by Daniel. Once Daniel approved the purchase order and sent it to Anthony for further approval, Anthony sent it back down to Daniel, who then sent it back down to Joseph to correct. Because the approvals had not yet reached the Budget or Purchasing Office, the purchase order was sent back to the prior approver.

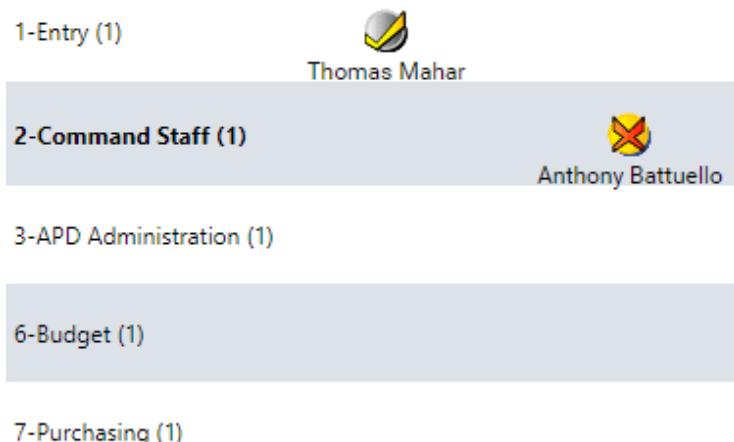


**Example 2:**

The image below shows that Mark entered the purchase order. Then it was approved by Joshua and Anthony. When it reached the Budget Office, Joel sent the purchase order back to Mark because something was incorrect. Because this purchase order had reached the Budget level, it was not sent back to the prior approver; it was sent back to the entry level. This would also be the case if the Purchasing Office were to send back a purchase order; they would send it directly back to the entry level.

**Example 3:**

The image below shows that Thomas entered the purchase order. Then the purchase order was denied by Anthony. When a denial occurs it is a hard stop, and the purchase order cannot be amended. If a purchase order is denied by accident a new purchase order will have to be submitted.



## New World ERP Inquiries & Reports

The following appendices include step-by-step procedures on how to use New World ERP for entering purchase orders and running various inquiries and reports.

- Appendix I: How to Enter a Purchase Order
- Appendix II: How to Reprint a Purchase Order
- Appendix III: How to Check Aggregate Thresholds
- Appendix IV: How to Look Up an Invoice Payment Status

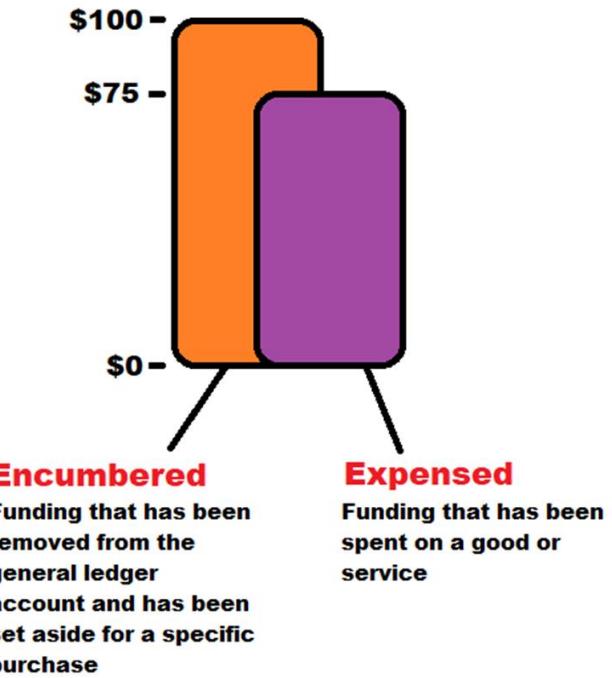
## Changing or Adjusting a Purchase Order

### Encumbered vs. Expensed

Below is a visual that shows the difference between encumbered and expensed. Encumbered is the funding that has been removed from the general ledger account and has been set aside for a specific purchase. Expensed is the funding that has been spent on a good or service.

The visual below shows that \$100 was encumbered and \$75 of the \$100 was expensed. In this case, there is \$25 that has been put aside for a specific purchase that is no longer needed or has not yet been used. When this occurs, departments should follow these procedures:

- **For standard purchase orders:** If the price of the item was higher or lower than expected, if the vendor made substitutions, or if the vendor is unable to deliver the quantity requested but the order is complete because they do not know when they will have more, the department that initiated the purchase order is responsible for the adjustment.
- **For blanket purchase orders:** Leave the purchase order open until the end of the year, just in case there are any additional expenses. If the difference is not spent by the end of the year the department that initiated the purchase order is responsible for the adjustment.
- **For standard & blanket purchase orders:** If the Purchasing, Budget, Audit, or Treasury Offices believe a different GL code should be used, they will inform the department where the purchase order originated. This department is responsible for adjusting the purchase order.



## Increases & Decreases

The goal of adjusting a purchase order is to make sure that the details (item numbers, service costs, etc.) and funding encumbered matches the invoices received from the vendor exactly. Purchase order adjustments can only be made by employees with purchasing-level permissions, but all purchase order adjustments are initiated by departments.

Adjustments can be needed for a number of reasons including change in price, change in shipping, change in quantity, replacements, or discounts. When adjusting a purchase order, the procedure is to add a new line item so that there is a record of the adjustment being made. However, corrections to price or quantity do not require a new line item to be made since the change is being performed on existing line items. See Appendix V for an example of the purchase order adjustment form and see below for specifics regarding increases and decreases of standard and blanket purchase orders.

### **Standard Purchase Orders**

- Increases:
  - If a new item is being added to the purchase order a new line item should be created
  - Adjustments to price or quantity should be made on existing line items
- Decreases:
  - Canceled items need to be marked as “completed” to void out the existing line item
  - Adjustments to price or quantity should be made on existing line items
  - Decreases resulting from a discount:
    - If each line item receives a discount, each line item will need to be modified to match the price that appears on the invoice
    - If the discount has been applied to the grand total but the line items still show the full price, the discount should be entered as a new line item with a negative amount (with the approval of the Purchasing Office)

### **Blanket Purchase Orders**

- Increases:
  - Needs a new line item titled “INCREASE [DATE]”
- Decreases:
  - In the example below, the decrease requested was \$6,000. One of the line items totaled to \$4,766.72 and the other line item totaled to \$5,000. Because the requested decrease amount is more than the last line item, you will need to reduce the amount on multiple line items. The example shows the last line item is decreased by \$4,999.99, making the new line item cost \$0.01, and the other line item is decreased by the remaining amount which is \$1,000.01. Adjustments that are made to a line item cannot result in that line item becoming \$0 or less.

Quantity	Quantity Rcvd	U/M	Description	Unit Cost	Total Cost
1.0000	EA	SUPPLIES AND MATERIALS	<b>-\$1,000.01</b>		\$4,766.7200
<i>Item Description</i>				Amount	Percent
SALT FOR SNOW EMERGENCY					100.00%
<i>G/L Account</i>				Amount	Percent
A.1492.5142.7410 (Supplies & Materials)					
1.0000	EA	SUPPLIES AND MATERIALS	<b>-\$4,999.99</b>		\$5,000.0000
<i>Item Description</i>				Amount	Percent
BLANKET P.O. FOR SUPPLIES & MATERIALS AS NEEDED					100.00%
<i>G/L Account</i>				Amount	Percent
A.1492.5142.7410 (Supplies & Materials)					

## Receiving a Partial Order

In some cases when ordering a quantity of a good you will only receive a partial order from the vendor. This can occur for a number of reasons including the good is currently out of stock and the requested quantity could not be fulfilled, you received the remaining good that the vendor had and no more are being produced, you are receiving the second half of a partial order, the deliveries are staggered, etc. If this occurs you will need to include the packing slip with "partial" written on it in the supporting documentation that you upload to New World ERP. If the vendor no longer has that item available the department should note this when they are closing out the purchase order. To read more information regarding how to close out a purchase order, see the "Closing out a Purchase Order" section of this manual.

## Closing out a Purchase Order

The purpose of closing out a purchase order is to free up funds that have already been set aside (encumbered) for a specific purpose. A purchase order closeout form must be submitted to the Purchasing Office by the department in which the purchase order originated if the following three criteria are met:

- All goods have been received / all services are complete
- The purchase order has a remaining balance
- All anticipated invoices have been received and paid

There are two different purchase order closeout forms that are available for departments to use. The first form is for closing out single purchase orders and can be found in Appendix VI. The second form is for closing out multiple purchase orders and can be found in Appendix VII.

## Request for Qualifications/Quotes, Bids & Proposals

### Request for Qualifications/Quotes (RFQ)

Request for Qualifications is a formal process for asking potential proposers to detail their background and experience providing a specific good or service. It is often used as a prequalification stage of the procurement process for professional services for a project that will require a high level of expertise. The Request for Qualifications will help narrow the pool of potential professional service providers. Upon receipt of the qualification packages, a committee of three to five employees review and score the packages and then the top three responders are brought in for interviews. After the interviews the best candidate is chosen and there is a request for a scope of services and an initial cost proposal. If there are issues with the cost a negotiation can take place.

Request for Quotes is similar to Request for Qualifications, but instead of asking a potential proposer to submit information on their background and experience, we are asking them to submit quotes on how much they would charge us for providing a specific good or service. Similar to a Request for Qualifications, a Request for Quotes can be used as a precursor to the RFP or bidding process. It can also be the sole selection process if the value of the public works project is under \$35,000, or the value of the good, equipment, or professional service is under \$20,000.

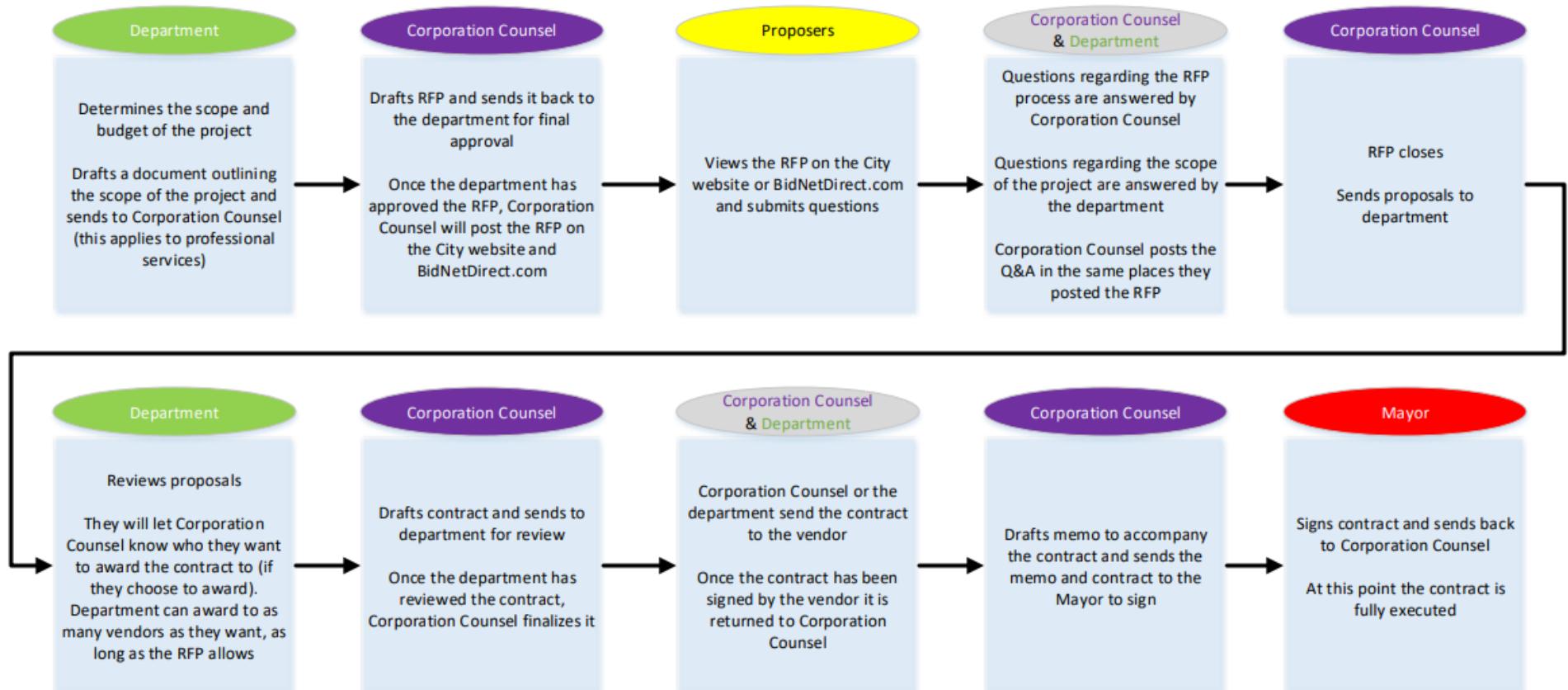
## **Request for Bids (RFB)**

Departments often refer to Request for Bids (RFB) as “bid specs”. If a department has a very clear picture of what they want from a contractor and the purchase includes commodities, equipment, or goods of at least \$20,000 or public works projects/contracts of at least \$35,000, they are required to post an RFB. The purpose of an RFB is to see which bidder will be able to meet the City’s needs for the least amount of money. Bids arrive in sealed envelopes and are opened publicly during the Board of Contract and Supply meeting. The contract is awarded to the lowest responsible bidder. This is done to remove bias from the selection process and to promote fair competition. For more information on the Board of Contract and Supply (BOCS) process, including the process map, see the “Board of Contract and Supply (BOCS)” section of this manual.

## **Request for Proposal (RFP)**

A Request for Proposals (RFP) is a business document that announces a project, describes it, lists term and conditions, and solicits bids from qualified vendors. An RFP is a procurement tool, not an obligation. All contracted professional services that will result in an expenditure to the City of at least \$20,000 per year must be procured through the RFP process. Using an RFP is a common method of seeking competition for professional services, where price should not necessarily be the sole criterion for award of the contract. While the RFP is “open”, meaning the closing date and time have not yet passed, there is a time period of limited contact between prospective proposers and City officials. The RFP outlines instructions for how to submit questions. Corporation Counsel drafts responses to the questions, often with assistance from department heads. There is a closing date and time for each RFP. After this date and time, no additional proposals will be accepted by the Corporation Counsel’s office. Corporation Counsel sends the proposals to the department and waits to hear if they have chosen a proposer (or proposers). Once this occurs, Corporation Counsel drafts the contract. See the next page for a step-by-step process map of the RFP process.

## Request for Proposals (RFP) Process Map



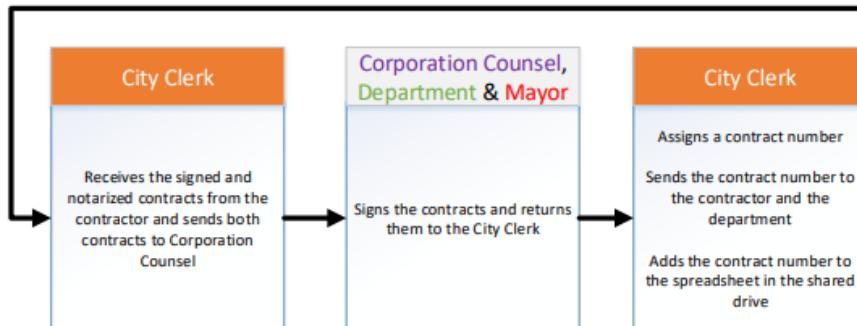
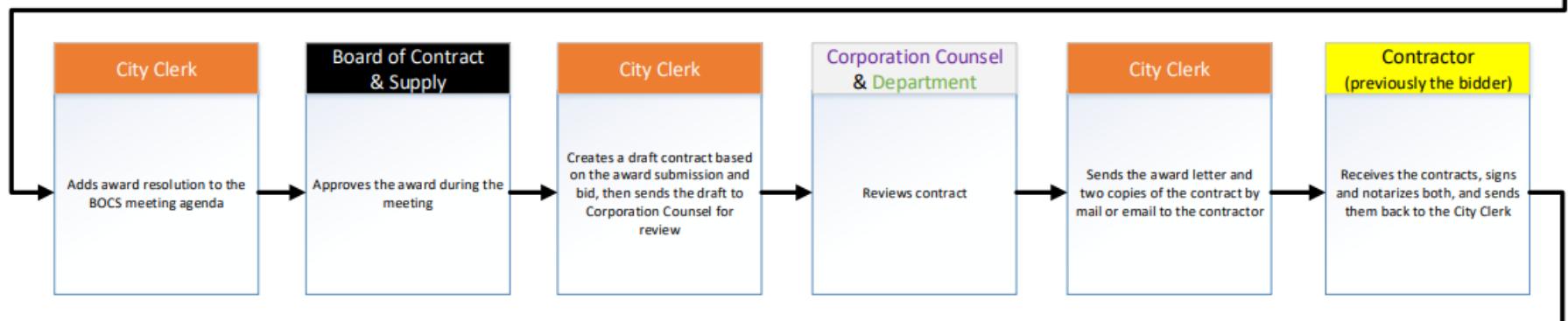
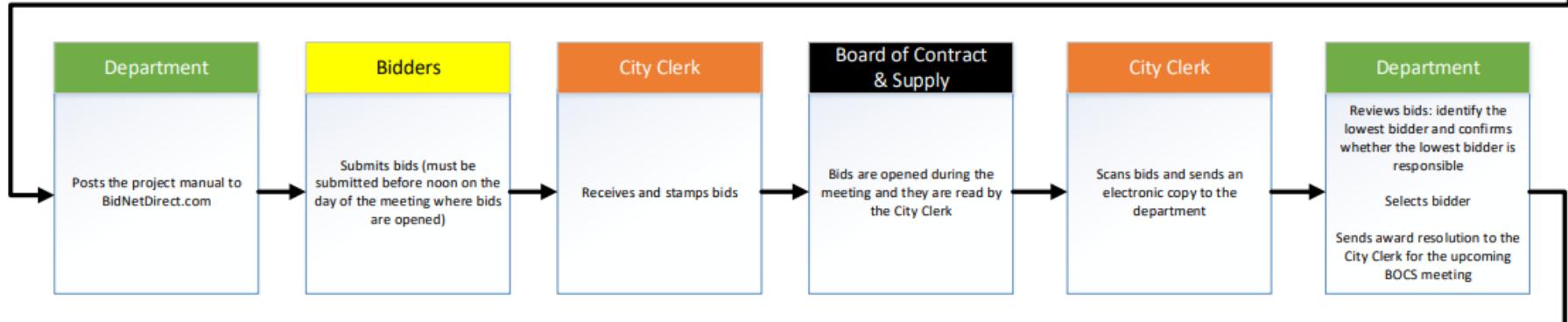
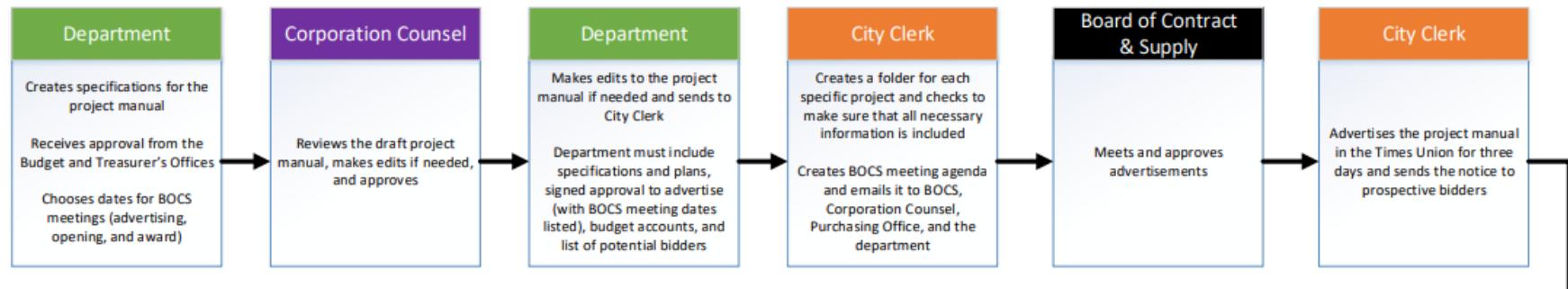
## Board of Contract & Supply (BOCS)

When purchasing commodities, equipment, or goods in excess of \$20,000 or public works projects/contracts in excess of \$35,000, the City is required to receive sealed bids in conformance with [General Municipal Law Section 103](#). After the department has decided on a purchase, determined the budget and availability of funds, and recognized that the purchase must receive sealed bids because of the dollar threshold, they will start the Board of Contract and Supply (BOCS) procurement process as detailed on the following page.

According the [City Code Section 42-209](#) the Board of Contract and Supply has the authority to make rules and regulations, not inconsistent with General Laws, the City Charter, or City Code. Such rules and regulations should outline procedure, conditions, methods, and practices to be followed when making purchases of materials and supplies by the Purchasing Office, and all departments, boards, bureaus and offices.

More information regarding BOCS can be found in [City Code Part 10](#).

## Board of Contract & Supply (BOCS) Process Map



## Purchase Justification

During budget constraints, every purchase order must be accompanied by a scanned Purchase Order Justification Form as shown in Appendix VIII. Each department will be notified by the Department of Administrative Services if this form is required due to budget constraints. The form should include the date, department, name of vendor, account, amount, and justification. When writing out the justification, you should clearly explain in detail why the purchase is essential. In addition, you will need to circle everything that applies to the purchase order from the following list: purchase requisition, will be used in 20XX (year), new purchase, replacement, vehicle/equipment repair, and/or other. If you circle "Other" you should elaborate. Each justification form must be signed and dated by a department head before it is entered. The justification form should also be submitted as an attachment to the purchase order in New World ERP. If the purchase order justification form is missing or not properly filled out, your purchase order will be returned and there will be a delay in the processing of your purchase order. Note: The cutoff for submitting purchase orders for a given year is generally the last Friday in October. This helps departments be more intentional with their purchases and allows the Budget Office to start closing out the books for that year. Due to holidays and the City's schedule, there is not enough time for purchase orders for a given year to be fulfilled after the end of October.

### Emergency Purchase Justification

For emergency purchase order requests that must be approved within 24 hours, check the "Urgent" box on the upper right hand corner of the Purchase Order Justification Form. You should also email the Budget and Purchasing Offices to notify them of the emergency purchase order. In the justification section of the form, you must also clearly explain in detail why the purchase is an emergency. If the purchase order justification form is missing or not properly filled out your purchase order will be returned and there will be a delay in the processing of your purchase order. For more information regarding emergency purchases see the "Exceptions to Procurement Procedures" section on this manual. Purchase orders are processed in the order they are received, and urgency is at the discretion of the Purchasing Department. To view the form see Appendix VIII.

## New Vendors/W-9 Form

Form W-9 is a Request for Taxpayer Identification Number and Certification and is how to City establishes a new vendor prior to doing business with them. This form is required to be filed with the IRS for new vendors and if a vendor's information has changed. Examples of changes in information include vendor name, address, taxpayer identification number, and/or a vendor being bought out by another vendor. The most up-to-date W-9 form can be found on the [IRS website](#).

Procedures for how departments should submit a W-9 form to the Purchasing Office:

- Prior to the City doing business with the vendor, the department head should establish contact with the vendor and request a completed W-9 form
- The department head should email the completed W-9 form to [COAPurchasing@AlbanyNY.gov](mailto:COAPurchasing@AlbanyNY.gov)
- Someone in the Purchasing Office will enter the vendor into New World ERP. They will then reply back to the department head letting them know that the vendor has been added to the system. The Purchasing Office should also give you the vendor number, which will be needed for when you enter the purchase order into New World ERP

Some vendors use a DBA, which stands for "doing business as". Working under a DBA allows the vendor to conduct business under a name that is not their legal or registered name. One example is: the Office of Cultural Affairs hires an individual to perform at an event. The individual's legal name is different from the individual's act/stage name. For the Purchasing Office to correctly put this vendor into New World ERP, the W-9 form must have the individual's name and the act/stage name, as well as a social security number or tax ID number. If this information is not present on the W-9 form the City will not be able to pay the vendor. It is up to each department head to make sure that all required information is present on the W-9 form prior to submitting it to the Purchasing Office.

## Exceptions to Procurement Procedures

### Emergency

An emergency is defined as “an accident, unforeseen occurrence or condition affecting public buildings, public property or the life, health, safety or property of the inhabitants of such city require immediate action which cannot await public bidding.” Under these circumstances, purchases can be made without bid or contract, depending on the circumstance, and are governed by the procedures set forth in the [NYS Second Class Cities Law Section 120](#). These purchases may require certification by the department head and/or authorization by the Common Council. These purchases must also be coordinated with the Purchasing, City Clerk, and Corporation Counsel Offices, as well as the Mayor and the Budget Director. See Appendix XI for an example of the form that would need to be submitted to the Mayor.

### Sole Source

Sole source implies that there is only one person or company that is able to provide the contractual service needed or the commodity or good required, and that any attempts to obtain bids would only result in the one person or company being able to meet the need. In such cases, a department is not required to engage in competitive bidding. If a good or service is only available from one source, for which there is no equivalent, the department must attest that the person or vendor provides a unique benefit at a cost that is reasonable in comparison to similar goods or services in the marketplace. The Statement of Sole Source Justification Form (see Appendix X) must be submitted to the Purchasing Office along with documentation including quotes from other vendors, if available. Note: A sole source justification is an extremely high bar to meet. In most instances, the department will be advised to follow the procedures outlined in the “Request for Qualifications/Quotes, Bids & Proposals” or “Board of Contract & Supply (BOCS)” section of this manual.

### Single Source

A single source procurement is one in which two or more vendors can supply the commodity, technology and/or perform the services required, but one vendor is selected over the others for reasons such as expertise or previous experience with similar contracts. Circumstances leading to the selection of this method of procurement may include, for example, the need for a specific consultant firm where a number of firms are available to perform the work. In such a case, the City can demonstrate a rational basis for selecting a single vendor because of specific factors such as past experience with a particular issue, familiarity with specific operations, experience with similar projects, and demonstrated expertise.

## Lowest Quote

There are circumstances in which the City is not required to go with the lowest bidder. An example of this is if the City can prove that someone other than the lowest bidder can provide a better value for the same product or service. Whenever any contract is awarded on the basis of best value instead of lowest quote, the basis for determining best value must be thoroughly and accurately documented. To learn more about this see the “Purchase Order Policy Statements” section of this manual (Best Value).

## Standardization

In some instances, for reasons of efficiency or economy, a department may identify a need to standardize a certain product type. A standardization resolution must be adopted by a vote of at least three-fifths of all members of the Common Council. Standardization of particular materials, supplies, or equipment is not an exemption to the competitive bidding requirements. Instead, once a standardization resolution is passed by the Common Council, the City may include the particularized specifications for the standardized material, supplies, or equipment and thereafter follow all competitive bidding requirements and the procurement procedures set forth in this Manual. For more information on standardization, see the [New York State Comptroller Opinion 98-8](#) and [General Municipal Law Section 103.5](#).

## For Managers

### Auctioning Used Vehicles & Other Property

[City Code Section 42-210](#) states the Purchasing Office may sell, under the direction of the Board of Contract and Supply, all property, real and personal, of the City not needed for public use and authorized to be sold. Various departments are in possession of surplus property no longer needed by the departments and not needed for public use, including, but not limited to, surplus vehicles, equipment and supplies. The Board of Contract and Supply has authorized Auctions International, to sell surplus property pursuant to the terms set forth in a written contract.

Departments such as Police, DGS, Fire, and Water auction used vehicles. Once the Fleet Manager has recognized that auctioning a vehicle is appropriate, they will get approval from the department head. Upon approval, the Fleet Manager will send the vehicle title to the Purchasing Office who will sign the back of the title as the 'seller' and return it to the Fleet Manager. The Fleet Manager will then contact Auctions International, which is the company the City uses for auctioning used vehicles. Auctions International is also the company the City uses for auctioning other surplus equipment and supplies. Auctions International will coordinate a time to come take pictures of the vehicle or equipment and will advertise. See Appendix XI for an example advertisement. Once the auction closes, Auctions International will contact the City and give us the option of accepting or declining the bid. If the City accepts the bid, Auctions International will mail us a check and a list of the items that were sold.

### Acquiring Vehicles

Periodically departments will have to go through the process of acquiring vehicles to replace their existing fleet. The Fleet Manager keeps track of the condition of vehicles and advises the department head when a vehicle has excessive mileage, requires excessive maintenance, or is otherwise in bad condition. Departments will commonly use the [NYS OGS Vehicle Marketplace](#) to find a contract to piggyback off of when purchasing a vehicle. Another way to procure a vehicle is through the mini-bid process. The mini-bid process is intended to be a shortened, condensed procurement process and the goal is to solicit the most competitive best value procurement. For more information on this process view the [NYS OGS Mini-bid Guidelines](#). If you would like to go through the mini-bid process, contact the Purchasing Office at [COAPurchasing@AlbanyNY.gov](mailto:COAPurchasing@AlbanyNY.gov) for more information.

Once the department has decided a specific vehicle to purchase, they will enter a purchase order in New World ERP. After the purchase order is approved by the Purchasing and Budget Offices, the purchase order is sent to the dealership and they start building the vehicle. Once the vehicle is ready the dealership will arrange delivery of the vehicle, title, and other related paperwork. If the department would like to get the vehicle outfitted with lights, sirens, etc. they will then send to the appropriate company to do this. The department then receives the invoice and pays it. The Fleet Manager will then add the vehicle to the City's insurance policy.

## Minority and Women-owned Business Enterprise (MWBE)

[City Code Section 48](#) sets goal percentages with regard to minority and women participation on certain City contracts. MWBE applies only to construction contracts; it does not apply to the purchase of goods or commodities, or to service or maintenance contracts.

The MWBE ordinance provides for two goals regarding subcontractors and labor:

- MWBE sub-contractors:
  - 15% of the value of a construction contract must be sub-contracted out to minority and/or women owned firm(s)
- M/W labor:
  - 30% of the labor hours on a construction contract must be performed by minority and/or women workers

The MWBE bid packet explains these goals to bidders and must be included in the bid materials for all applicable projects. The MWBE plan forms in the bid packet must be completed and submitted by each bidder. The Senior Compliance Coordinator reviews and approves the submitted MWBE plans. The department must make sure that the low bidder has MWBE approval before awarding the contract.

Throughout the course of a construction contract, the Senior Compliance Coordinator will collect MWBE and M/W labor reporting from the contractor. All pay applications must be submitted to the Senior Compliance Coordinator for approval before being sent to Audit (accounts payable).

## Apprenticeship Requirement

[City Code Section 42-154.1](#), similar to MWBE, also applies only to construction contracts. This ordinance requires any firm entering into a construction contract that has a value greater than \$100,000 to provide documentation that they have in place a New York State accredited apprenticeship program, or an agreement with a state-accredited apprenticeship program, and that the program has a graduation rate of at least 30%.

The Senior Compliance Coordinator collects and approves apprenticeship documentation from contractors. You must make sure that the low bidder has apprenticeship approval before awarding the contract.

## Living Wage

[City Code Section 42-161](#) sets a minimum hourly rate which must be paid to the employees of firms that hold applicable service contracts with the City. Living wage does not apply to construction contracts, or to the purchase of goods or commodities. Living wage only applies to service contracts with a value of \$20,000 or higher per year, or with anticipated fees of at least \$30,000 during a period of one year.

The amount of the living wage is reviewed by the Senior Compliance Coordinator and is increased annually to reflect inflation as captured by the unadjusted consumer price index for all urban consumers (CPI-U), United States Department of Labor.

The Senior Compliance Coordinator collects and approves living wage documentation from applicable contractors. The department must make sure that the low bidder has living wage approval before awarding the contract.

To view the Living Wage Compliance Form, see Appendix XII.

## Sweat-Free for Apparel & Textiles

[Ordinance Number 70.111.06](#) states that the City of Albany supports the rights of workers domestically and internationally to be treated fairly in their workplaces and to be compensated equitably. The City endorses efforts to remedy conditions and improve exploitative workplaces such as sweatshop factories in the garment industry. The City approves of legislation enacted by the New York State Legislature that enables local governments and public schools to purchase apparel and textiles from companies that are not sweatshops but instead comply with just and humane labor standards.

## Branding Guidelines

Brand guidelines are a set of visual and verbal assets that are essential properties of the City of Albany brand, accompanied by a set of rules on how to properly use and combine assets. These guidelines are designed not to curb creativity when representing the City of Albany and/or the departments therein, but rather to provide a unifying context for creativity and integrity. By familiarizing yourself with these guidelines and following them, you are fulfilling your part in helping the City of Albany brand remain focused so that it stays true to itself and flourishes.

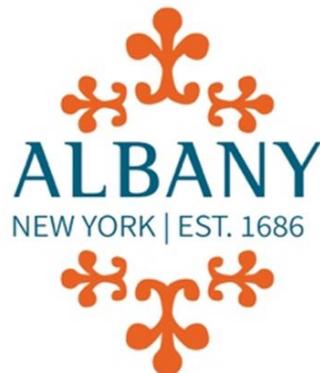
City branding should be used on all letterhead, memorandums, presentations, and vehicles. Branding rules for vehicles may be waived if the public identification of a City vehicle impedes the employee operating the vehicle from carrying out their work duties, or detrimentally affects the safety of the employee; or when in the City's best interest as determined by the Commissioner of Administrative Services.

### Primary Logo



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### Secondary Logo/Crest



### Color Scheme

PRIMARY COLORS	<b>CMYK</b> 93/56/35/13 <b>RGB</b> 7/96/125	<b>CMYK</b> 2/76/100/0 <b>RGB</b> 236/98/36	<b>CMYK</b> 0/0/0/100 <b>RGB</b> 26/25/25 <b>Grayscale</b> : 100% Black
	<b>CMYK</b> 73/16/2/1 <b>RGB</b> 9/157/206	<b>CMYK</b> 0/47/56/0 <b>RGB</b> 255/147/100	<b>CMYK</b> 73/65/61/16 <b>RGB</b> 81/81/81 <b>Grayscale</b> 75% Black
SECONDARY COLORS	<b>CMYK</b> 55/10/0/0 <b>RGB</b> 8/192/255	<b>CMYK</b> 2/16/42/0 <b>RGB</b> 255/212/145	<b>WHITE</b>

### Seal of the City of Albany



## Purchase Order Policy Statements (Info Relevant to Departments)

### Fairness, Ethics, Impartiality & Avoiding Conflicts of Interest

#### Purpose

Officers and employees of the City of Albany hold their positions to serve and benefit the public, and not for obtaining unwarranted personal or private gain in the exercise and performance of their official powers and duties. The City of Albany recognizes that, in furtherance of this fundamental principle, there is a need for clear and reasonable standards of ethical conduct. This code of ethics establishes those standards.

#### Definitions

“Interest” means a direct or indirect financial or material benefit, but does not include any benefit arising from the provision or receipt of any services generally available to the residents or taxpayers of the municipality or an area of the municipality, or a lawful class of such residents or taxpayers. A municipal officer or employee is deemed to have an interest in any private organization when they, their spouse, or a member of their household, is an owner, partner, member, director, officer, employee, or directly or indirectly owns or controls more than 5% of the organization’s outstanding stock.

#### Applicability

This code of ethics applies to the officers and employees of the City of Albany. Provisions of this code of ethics shall apply in addition to all applicable State and local laws relating to conflicts of interest and ethics including, but not limited to, [article 18 of the General Municipal Law](#) and all rules, regulations, policies and procedures of the City of Albany.

#### Prohibition of Use of Municipal Position for Personal or Private Gain

No municipal officer or employee shall use their municipal position or official powers and duties to secure a financial or material benefit for themselves, a relative, or any private organization in which they are deemed to have an interest.

### **Use of Municipal Resources**

- Municipal resources shall be used for lawful municipal purposes. Municipal resources include, but are not limited to, municipal personnel, and the municipality's money, vehicles, equipment, materials, supplies or other property.
- No municipal officer or employee may use or permit the use of municipal resources for personal or private purposes, but this provision shall not be construed as prohibiting:
  - Any use of municipal resources authorized by law or municipal policy
  - The use of municipal resources for personal or private purposes when provided to a municipal officer or employee as part of his or her compensation; or
  - The occasional and incidental use during the business day of municipal telephones and computers for necessary personal matters such as family care and changes in work schedule.
- No municipal officer or employee shall cause the municipality to spend more than is reasonably necessary for transportation, meals or lodging in connection with official travel.

### **Interests in Contracts**

No municipal officer or employee may have an interest in a contract that is prohibited by [section 801 of the General Municipal Law](#). Every municipal officer and employee shall disclose interests in contracts with the municipality at the time and in the manner required by [section 803 of the General Municipal Law](#).

## **Food & Beverage**

The purpose of this section is to establish policies and procedures for the use of City funds involving the purchase of food and beverage. Circumstances exist where the use of City funds for food and beverage in connection with conducting official business is appropriate. There are also circumstances where the use of City funds for food and beverage is not appropriate and therefore prohibited.

Food and beverage purchases are permitted in the following instances:

- Traveling for official business on behalf of the City
- Staff development workshops, as approved by the Commissioner of Administrative Services or their designee
- Hosting an event that will benefit the public and requires public participation
- Public outreach programs or events held for the public's benefit where most of the participants are not City employees
- Other situations as approved by the Commissioner of Administrative Services or their designee, including but not limited to public safety emergencies or extreme weather incidents. In these situations, the department must receive written approval from the Commissioner of

Administrative Services or their designee prior to reimbursement or submission of payment voucher.

Reimbursement rates for employee meals:

- The City shall reimburse the lesser of the actual cost of allowable meals or the per meal rate as determined annually by the US General Services Administration (GSA). GSA meal rates can be found at: <https://www.gsa.gov/travel/plan-book/per-diem-rates>. The Federal Fiscal Year 2023 rates for Albany are shown below.

FFY 2023 US GSA MEAL REIMBURSEMENT RATE - ALBANY, NY				
Primary Destination	County	Breakfast	Lunch	Dinner
Albany	Albany	\$16	\$17	\$31

Food and beverage purchases are not permitted in the following instances:

- Alcoholic beverages of any kind
- Holiday parties, birthday parties, retirement parties, or other office parties
- All settings which do not serve a clear official business purpose
- Routine meetings made up predominately of employees, such as staff or committee meetings, in which the success of the meeting does not depend on the food or beverage being served

The food policy outline above will not supersede any contractual agreements that the city has made with a union, vendor, or other party. In those instances, food purchases will follow the terms of the contract.

In the event there is dispute regarding the purchase of food, the Commissioner of Administrative Services shall consult with the Purchasing Director and Budget Director to determine proper application of this policy and issue a written determination of approval or disapproval. Such determination shall be final.

### **Local Preference**

Recognizing the importance of contributing to a vibrant, local economy, it is the official policy of the City of Albany to give preference to local small businesses for the purposes of providing catering and food services for events, meetings, and other instances that may necessitate the purchase of food or beverages. This manual will guarantee that this beneficial practice continues. It is the responsibility of each department head to ensure that every staff member assigned a purchase card is aware of this policy.

## Work Related Travel

Travel to meetings, conferences or for other events related to City business may be required of some employees. To ensure the most prudent use of City funds, appropriate work-related travel should be approved by a department's commissioner or designee prior to departure.

Employees should make every possible effort to keep expenses related to travel to a minimum. Whenever possible, an employee should choose base/economy prices related to the mode of transportation – e.g. selecting coach class for train or air travel, selecting the base rental car option, etc.

Hotel accommodations should, likewise, be as economical as possible. While there may be situations in which the employee may need to consider other factors (proximity to meeting/conference, preferred conference hotel, etc.), the employee should strive to keep all costs as low as reasonably possible. Should an employee need further guidance on reasonable rates in an area, the US General Services Administration website has a list of per diem rates available for given locations.

An employee required to travel for City-related business should maintain full documentation of all spending on the trip. Documentation of expenses will be required to receive reimbursement in appropriate situations. The following expenses are eligible for reimbursement if determined to be reasonable and justified:

- Mileage reimbursement at IRS rate
- Rental of a vehicle
- Airline tickets
- Train tickets
- Hotel accommodations
- Parking
- Public transportation
- Anything else deemed necessary as part of the work trip
- Food – following GSA rates (see Food & Beverage Policy on page 40-41 of the Purchasing Manual)

Expenses that may NOT be reimbursed include, but are not limited to, the following:

- Valet parking
- Tips outside of a standard service setting and/or above standard 18% gratuity
- Parking violations, speeding tickets
- Airline upgrades
- Alcohol
- Dry cleaning
- Hotel amenities
- Anything else that is deemed to be unnecessary or imprudent

The City has the right to deny reimbursement and/or recoup payment from employee if it is determined an employee made inappropriate spending choices when other, more economical options were available. This would include unnecessarily upgrading a flight class, choosing a luxury hotel when other options were available, etc.

A commissioner or designee should review these policies with an employee prior to departure. They should also review expenses related to the trip when the employee has returned, prior to submitting the expenses for reimbursement, to ensure all expenses were reasonable. Control departments – including, but not limited to, Budget, Audit and Treasury – may reach out to a commissioner to confirm their approval of the expenses prior to payment. To avoid potential delay in payment, an employee should include documentation of commissioner (or designee) approval as part of the submission of their reimbursement request whenever possible.

## Best Value

[General Municipal Law Section 103](#) authorizes municipalities to award purchase contracts subject to competitive bidding on the basis of either the lowest responsible bidder or the best value standard as defined in [NYS Finance Law Section 163](#). When awarding contracts under the best value standard, the City must consider the overall combination of quality, price, and other elements of the commodity or service that in total are optimal relative to the needs of the City. The following requirements apply:

- Whenever any contract is awarded on the basis of best value instead of lowest responsible bidder, the basis for determining best value shall be thoroughly and accurately documented.
- The determination of quality and cost efficiency should be based on objectively quantified and clearly described and documented criteria which may include the cost of maintenance, proximity to the end user if distance or response time is a significant term, durability, availability of replacement parts or maintenance contractors, longer product life, product performance criteria, quality of craftsmanship, etc.
- Solicitation documents should state the minimum requirements and specifications that must be met in order for the bidder to be deemed responsible and should also identify the general procedure and manner in which the evaluation and selection will be conducted.
- When awarding contracts the Board of Contract and Supply (BOCS) shall give, where practicable, a preference to bidders who are residents or taxpayers of the City.

For more information regarding best value practices see [City Code Section 42-157](#).

## Credit Card Use

The purpose of this policy is to help employees and public officials understand and apply the City's rules and regulations and provide instruction for using City-owned purchase cards. A purchase card is a card issued in the name of a City official or employee to be used only for official City business needs.

Cardholders will sign acknowledgement for receipt and understanding of this policy and agreement to comply. Additionally, new cardholders will sign a cardholder agreement issued by the credit card company outlining terms and conditions. All purchases by City employees must have the approval of a department head.

Only the following types of purchases are permitted with a City-owned purchase card:

- Lodging, transportation, and travel expenses
- Purchases in which purchase orders are not accepted by the vendor
- Purchases of an emergency nature (such purchases must be approved by a department head)
- Food purchases are permitted in the following instances:
  - The cardholder is traveling for business on behalf of the City
  - The cardholder is hosting an event that will benefit the public and requires public participation. In order to purchase food for such events, the cardholder must submit an electronic Food Purchase Approval Form to the Treasurer's Office, at least 10 business days prior to the event.

#### **The Treasurer's Office Oversees the Purchase Card Account and Procedures**

The Treasurer's Office is responsible for the following:

- Issues and revokes purchase cards
- Establishes dollar limits and other restrictions deemed appropriate by the Budget Director and/or the Treasurer
- Maintains a log of all purchase cards that have been issued
- Collects documentation of all purchases from the cardholders and verifies the monthly account statement and submits this documentation to the Office of Audit and Control for final audit and approval
- Pays the monthly bill in one payment on behalf of all cardholders
- Oversees compliance with this policy and procedures

The Treasurer's Office, in conjunction with the Office of Audit and Control will conduct an annual review of the cardholder list obtained from the card company to determine:

- All cardholders are current employees and have job responsibilities that warrant the use of a purchase card
- Purchase and transaction limits are commensurate with employees' business needs
- Cards are being actively used, cards remaining inactive for prolonged periods will be evaluated for potential deactivation

The annual review will be documented and documentation will be maintained with the Treasurer's Office and the Office of Audit and Control. All questions regarding the purchase card account and procedures should be directed to the Treasurer's Office or the Office of Audit and Control.

### **Obtaining a Purchase Card**

Purchase cards may be issued to department heads, City officials, and in some cases to employees in positions with a particular stated need to utilize the purchase card on a regular basis. To obtain a purchase card, a Request for Purchase Card Form (see Appendix XIII) must be submitted to the Treasurer's Office. The department head, Budget Director, and Treasurer must approve the request.

### **Responsibilities of Cardholders**

Any employee who has been issued a card is personally responsible for all purchasing activity on that card.

- Cardholders must ensure that the purchase card is never used as a means to avoid appropriate procurement or payment procedures
- Cardholders must take all necessary precautions to keep the purchase card and card number in a secure location
- Cardholders must ensure that only authorized City employees and officials use the purchase card, and that the card is used for authorized City purchases only
- Cardholders must keep a log of all transactions on the Purchase Card Reconciliation Form (Appendix XIV) and collect original receipts for all transactions made
- Cardholders must be able to justify that every use of the purchase card is necessary, and is for the purposes of official City business
- It is the cardholder's responsibility to follow-up on any erroneous charges, returns, or adjustments and to ensure proper credit is given on subsequent statements
- If unauthorized charges occur, or if a card is lost or stolen, the cardholder must immediately contact customer service of the financial institution and notify the Treasurer's Office in writing

### **Using the Purchase Card**

Any employee making a purchase using the purchase card must:

- Obtain prior approval from the department head. For emergency purchases department heads must be notified within 24 hours after the emergency purchase has been made
- Ensure that purchases are tax exempt at the point of sale
- Obtain an itemized receipt for every transaction

- Add the transaction to the Purchase Card Reconciliation Form (Appendix XIV)

### **Submitting Documentation of Purchases**

Each department is responsible to pay out of its budget all charges incurred on its purchase cards, including service fees and finance charges.

The closing date on the purchase card account is the 26<sup>th</sup> of each month. All documentation of purchase card transactions must be submitted to the Treasurer's Office by the last day of each month.

Cardholders should reference the purchase card statement they receive from the credit card company each month when preparing receipts and Purchase Card Reconciliation Form (Appendix XIV).

Proper documentation must include:

- An original receipt for every transaction that appears on the statement
- A completed Purchase Card Reconciliation Form (Appendix XIV) which lists all of the transactions that appear on the statement and provides the appropriate budget line for the payment of each transaction

Note: Specified budget lines must be appropriate for the type of purchase made, and must have sufficient funds to cover the cost of the purchase(s). Cardholders must check the balances on all specified budget lines before submitting monthly documentation.

### **Revocation of Purchase Card**

The cardholder is responsible for all purchases made. If a purchase made is found to be out of compliance with this policy or City procurement policy, the cardholder will be personally responsible for the payment of that purchase and will lose all purchase card privileges.

A cardholders who does not submit their receipts and Purchase Card Reconciliation Form (Appendix XIV) by the last business day of the month will receive a reminder email from the Treasurer's Office. Once the reminder email has been sent, the cardholder has 30 business days to submit their receipts and Purchase Card Reconciliation Form (Appendix XIV). Failure to submit proper documentation within the 30 day period will result in the cardholder's purchase card being revoked. Once proper documentation has been submitted, the cardholder will regain access to the purchase card.

### **Other Restrictions**

The following uses of a Purchase Card are strictly prohibited:

- Cash Advances
- Personal purchases
- Purchases of alcoholic beverages
- Purchases of entertainment of any kind that is illicit or pornographic

If any of the above occur, the City employee may be subject to disciplinary action, which could result in termination.

### **Termination/Resigning Employees**

The Department Head or designee must obtain the purchase card, any receipts, and any other documentation from the cardholder when they are terminated or resign from their position and submit these items to the Treasurer's Office. Elected City officials must return the purchase card to the Treasurer's Office at the end of their term along with any receipts and any other documentation.

### **Policy Violations**

Failure to adhere to all aspects of this policy may result in loss of cardholder privileges and, for employees, may result in disciplinary action, which could result in termination of employment.

## **Purchasing Recycled Products**

The purpose of this policy is to ensure that the City fully participates in the recycling of paper products by purchasing for its use paper products containing recycled material. The Common Council finds and declares that recycling is an integral part of the solid waste management program and further finds and declares that the reuse of materials diverted from the waste stream for recycling is an essential element of the process of recycling.

According to City Code Section 42-212, the City is obligated to abide by the following rules:

- All paper products purchased by the City for customary office uses, including, but not limited to, letterheads, envelopes, computer paper, business cards, brochures, forms, note pads, file folders, notices and photocopying, shall be manufactured from recycled paper.
- Recycled paper products containing the highest percentage of postconsumer waste shall be purchased to the greatest extent practicable, but in no event may the percentage of postconsumer waste be less than 30%.
- The Director of Purchasing may authorize the purchase of paper which does not meet the definition of recycled paper provided by this section or does not contain the minimum amount of postconsumer waste required by this section upon a determination that
  - No recycled paper product is available for a particular application;
  - Available recycled paper products are inappropriate for the particular application contemplated; or
  - Recycled paper products only can be obtained at a cost which exceeds, by more than 15%, the cost of equivalent products that are not made with recycled paper.

## Environmentally Preferable Purchasing

The purpose of this policy is to maximize environmental benefits of the City's activities by establishing procedures to encourage the procurement of services and products that:

- Reduce toxicity
- Conserve natural resources, materials, water, and energy
- Maximize recyclability and recycled content and reduce waste

By including environmental considerations in purchasing decisions along with the traditional concerns of price, performance, and availability, departments will remain fiscally responsible while promoting practices that improve public health and safety, reduce pollution, conserve natural resources, and reward manufacturers and suppliers who reduce adverse environmental impacts in their production and distribution systems.

The City shall acquire its goods and services in a manner that complies with City, State and Federal laws. The City shall promote the use of environmentally preferable products in its acquisition of goods and services. Nothing in this policy shall be construed as requiring a department to procure products that do not perform adequately for their intended use or products that are not the lowest price bid, as required by the City's purchasing policies and procedures.

The City's responsibilities include:

- Encourage departments to procure environmentally preferable products and services where criteria have been established by governmental or other widely recognized authorities (For example: Energy Star, Green Seal, and EPA Eco Purchasing Guidelines)
- Where external authorities have not established purchasing criteria for products and services, departments should work to integrate environmental factors into contract language and buying decisions, such as:
  - Replace disposables with reusable or recyclable items
  - Support eco-labeling practices by buying products bearing such labels in preference to others that do not bear such labels, where they are available and where they provide value for the money
- Departments are encouraged to request and obtain life-cycle cost analysis from potential suppliers as part of the bid submittal procedure
- Evaluate, as appropriate, the environmental performance of vendors in providing products and services

- Raise staff awareness on the environmental issues affecting procurement by providing relevant information and training
- Encourage suppliers and contractors to offer environmentally preferable products at competitive prices
- Encourage providers of services to consider environmental impacts of service delivery
- Encourage departments to include specifications for recycled and environmentally preferable products in all City contracts
- Continue, and if possible, expand existing programs to purchase environmentally preferable products (such as re-refined automotive oils and coolants, integrated pest-management programs, green seal custodian supplies, etc.). Departments are also encouraged to evaluate environmentally preferable products and purchase them when possible

## **Use of Personal Vehicles & Reimbursement**

### **Use of Personal Vehicles for Work Purposes**

If an employee intends to seek reimbursement for using a personal vehicle for work purposes, the employee must obtain pre-approval from their supervisor. This requirement does not apply to employees whose job functions require using a personal vehicle for work purposes.

### **Mileage Reimbursement**

- The City will reimburse employees at the IRS standard mileage reimbursement rate for miles driven in the employee's personal vehicle for work purposes (for example: from an employee's worksite to another worksite or business event)
- Employees must complete and submit the Mileage Reimbursement Form (see Appendix XV) to their supervisor no later than 30 days after completing the trip
- The City will not reimburse employees for miles driven for non-work purposes, such as commuting to/from home to an employee's worksite, lunch breaks, or travel to a doctor's appointment during the work day.

## Procurement & Management of City-owned Vehicles

### Procurement of City-owned Vehicles

#### Annual Planning

Each department shall plan for their specific vehicle purchasing needs during the annual budget process. This plan will include a listing of all vehicles the department anticipates purchasing during the upcoming calendar year, when the department intends to purchase vehicle(s), and how the purchase(s) will be financed. Each department must submit this plan annually to the Budget Office and Purchasing Office by October 1. The Budget Office and Purchasing Office will review the plans and attempt to coordinate vehicle purchases across departments.

#### Vehicle Purchase & Review by the Department of Administrative Services

When it is time to purchase a vehicle, the department must submit their formal request to the Department of Administrative Services Purchasing Office outlining their specific needs and what the vehicle will be used for. This form can be found in Appendix XVI. The Department of Administrative Services Purchasing Office will review and may approve, deny, or alter the vehicle request for:

- Take home vehicles deemed unnecessary for the position
- Requests for a specific make or model (if unjustified)
- Unnecessarily large vehicles
- Requested vehicles that may be purchased as a hybrid, electric, or other energy efficient vehicle or meet fuel emissions and safety standards

#### Review by the Department

Before a vehicle is purchased, the department will have the opportunity to review the modifications to the request made by the Purchasing Office, and confirm that the vehicle meets the department's purposes/needs.

#### Procurement of the Vehicle by the Purchasing Office

Once the Department of Administrative Services approves the vehicle request, the Purchasing Office will procure the best price for the vehicle(s) in accordance with this manual. Once the vehicle and pricing is confirmed, the department shall submit an official purchase order request in New World ERP.

### *Receipt of the Vehicle by the Department*

When a new vehicle is obtained, the department must send a completed Fleet Inventory Update Form to the Treasurer's Office. In order to process payments for new vehicles, a copy of the correspondence sending the Fleet Inventory Update Form to the Treasurer's Office must be attached to the voucher. To view this form see Appendix XVII.

### **Record Keeping & Centralized Fleet Management**

All departments must keep an up-to-date list of City vehicles in their department. This list must include:

- Make, model, and year of the City vehicle
- Usage type of the vehicle (for example: take-home vehicle, shift vehicle, work vehicle, pool vehicle)
- Authorized user(s) or shift(s) the vehicle is assigned to (if applicable)
- Estimated date when the vehicle may end its useful life and needs to be replaced

The department must provide this list to the Department of Administrative Services annually on February 1. The Department of Administrative Services may implement a centralized electronic fleet management system.

The Treasurer's Office will maintain the City's centralized vehicle asset list. This list must include:

- Department and unit that the vehicle is assigned to
- Year, make, model, VIN, license plate number, and class of vehicle
- Original cost/purchase price of the vehicle
- Usage type of the vehicle (for example: take-home vehicle, shift vehicle, work vehicle, pool vehicle)
- Authorized user(s) or shift(s) the vehicle is assigned to (if applicable)

A Fleet Inventory Update Form must be completed by the department and sent to the Treasurer's Office within five business days of a change in a department's fleet inventory. Changes to fleet inventory include, but are not limited to, acquisition, sale, auction, or of a vehicle; and the transfer of a vehicle from one department to another. To view this form see Appendix XVII.

### **Disposal of Vehicle**

Before a vehicle is disposed of, the vehicle must be offered to other departments. Departments must inform the Department of Administrative Services of any transfer. The City will sell decommissioned vehicles at auction. The department will list the vehicle on the City's designated auction website. If a vehicle is beyond repair and not in sufficient condition to be auctioned, it may be salvaged. Within five business days of disposal of a vehicle, the department must complete a Fleet Inventory Update Form (as

shown in Appendix XVII) and send it to the Treasurer's Office. The Treasurer's Office shall request that the respective vehicle be taken off of the City's insurance policy and shall send confirmation of its removal from the insurance policy to the Purchasing Office. Only the Purchasing Office may sign the title to transfer the vehicle; no department head may sign a title to transfer ownership of a vehicle.

## Frequently Asked Questions

**Question:** How do I know what type of purchase order I need to select?

**Answer:** Purchase order types include standard, blanket, bond, direct claim, short warrant, and confirming order. Short warrants are the only type of purchase order that are not required to be entered in New World ERP. To see which category your purchase falls under see the "Types of Purchase Orders" section of this manual.

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**Question:** I entered my purchase order in New World ERP, what do I do next?

**Answer:** In order for your purchase order to be sent to the next level of approval you must validate and approve it first. Once this is complete, you should notify the department head or next level approver and make them aware that there is a purchase order in need of review/approval. For more information regarding this, see the "Levels of Purchase Order Approval" and "Appendix I – How to Enter a Purchase Order" sections of this manual.

---

**Question:** Why did my purchase order disappear from the system?

**Answer:** Once a purchase order has been approved on all levels the Purchasing Office will send the purchase order to the vendor. The purchase order will no longer be listed as a current request. If you would like to view and/or print a copy of the approved purchase order see the "New World ERP Inquiries & Reports" section of this manual.

**Question:** When I am trying to put a purchase order in New World ERP I do not see the vendor listed in the drop down menu. What do I do?

**Answer:** If the vendor is not listed in the drop down menu that means the City has not previously done business with them. Before entering in a purchase order with that vendor you will need to obtain a W-9 form. For more information regarding this, see the “New Vendors/W-9 Form” section of this manual.

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**Question:** I cannot find a vendor in New World ERP that our department has previously done business with. Do I need to obtain a W-9 form from the vendor prior to putting in the purchase order?

**Answer:** If the City has previously done business with the vendor you do not need to obtain a W-9 form. Instead, check the spelling of the vendor name you are typing in. (For example: If you type in “W.B. Mason” or “WB Mason”, the vendor will not appear even though the City has done business with them. If you type in “W B Mason” the vendor will pop up in the drop down menu. To avoid this confusion, it is always preferred to have the vendor identification number handy).

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**Question:** Do I need to submit a purchase justification form and get approval from the department head, Budget Office, and Purchasing Office if I am purchasing something with a blanket purchase order?

**Answer:** Yes, you still need to follow the standard procedure.

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**Question:** Do I need to send a copy of the purchase order justification form to the Budget Office?

**Answer:** No. The Budget Office and the Purchasing Office will not accept paper justification forms. The justification form should be scanned and submitted as an attachment in New World ERP when you submit the purchase order. To attach documents, click the “Documents” button and upload the file. For specifics, refer to “Appendix I – How to Enter a Purchase Order”.

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**Question:** Why isn’t the purchase order I submitted for a utility getting approved?

**Answer:** Utility bills do not get entered into New World ERP. Bills such as these should be sent to the Office of Audit and Control as a short warrant. For more information on this see the “Types of Purchase Orders” section of this manual.

**Question:** It is early in the year and I have a bill to pay on a GH account and I do not have a purchase order/the purchase order I have is from last year. What do I do?

**Answer:** Funds for existing bonds for the previous year will not carry into the accounts for the current year until the previous year's books are closed by the Treasurer's Office. If you have a question regarding this you should reach out to the Treasurer's Office.

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**Question:** My purchase order is authorized through a contract but still is not getting approved. Why?

**Answer:** You must attach the contract to the purchase order in New World ERP by using the "Documents" button. For more specific instructions refer to "Appendix I – How to Enter a Purchase Order". If the contract is expired the Purchasing Office will not approve the purchase order. If you require assistance with an expired contract contact Corporation Counsel.

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**Question:** I have a question but it was not answered in the Q&A and I am unable to locate the answer. What should I do?

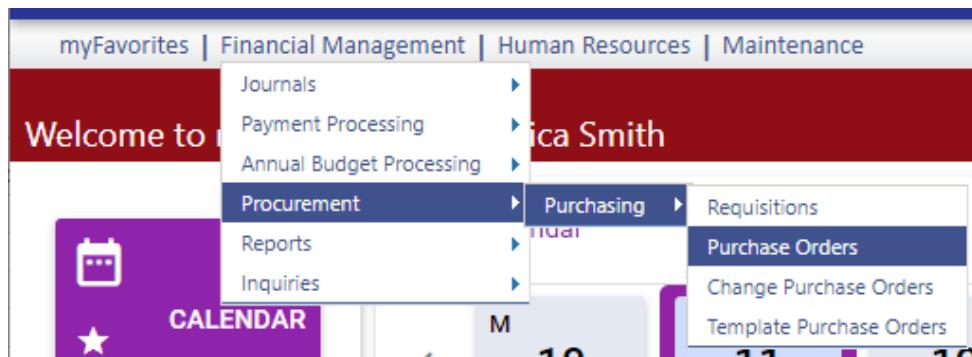
**Answer:** Reach out to the Purchasing Office for assistance by emailing [COAPurchasing@albanyny.gov](mailto:COAPurchasing@albanyny.gov).

## Appendix

### Appendix I - How to Enter a Purchase Order

**Step 1:** Using your internet browser, open New World ERP by using the following link: <https://clv-nwapp04.albanyny.gov/nwerp/>. Then sign in with your network username and password.

**Step 2:** From the home screen select Financial Management > Procurement > Purchasing > Purchase Orders.



**Step 3:** On the bottom of your screen select “New”.



**Step 4:** Fill out the top half of the page using the guidelines below:

Template	<input type="text"/>	Purchasing Address	<input type="text"/> W B MASON
Department	<input type="text"/> 1430.16 - Civil Service Commission, Administrative Services	G/L Date	<input type="text"/> 01/13/2022
Vendor	<input type="text"/> 18034 - W B MASON	Deliver by Date	<input type="text"/>
Description	<input type="text"/> Paper	Expiration Date	<input type="text"/>
Type	<input type="text"/> STANDARD	Resolution Number	<input type="text"/>
Form Type	<input type="text"/> Standard - PO Form	Assign to Buyer	<input type="text"/>
Bill To Location	<input type="text"/> TREASURER - ACCOUNTS PAYABLE		

- **Department (required)**
  - If you are responsible for more than one department, always make sure to use the drop down menu to select the appropriate department for the purchase order you are entering.
- **Vendor (required)**
  - Begin typing the vendor name in the space provided. All matches will appear in the drop down menu and you will be able to select the vendor. If the vendor does not exist, you will need to submit a W-9 to the Purchasing Department. See the “New Vendors/W-9 Form” section of this manual or contact the Purchasing Department. You will not be able to input the purchase order until the vendor is added to New World ERP by the Purchasing Department.
- **Description (required)**
  - Examples: APD uniforms, Water Department equipment, rock salt, etc.
- **Type (required)**
  - Refer to the “Types of Purchase Orders” section of this manual to see what type of purchase order is appropriate. New World ERP does not allow a purchase order type to be edited after it has been submitted. If after you submit the purchase order you realize you entered the wrong type, you will need to delete the purchase order and create a new one.
- **Form Type (required)**
  - Select “Standard – PO Form” from the drop down menu.
- **Bill To Location (required)**
  - Select “TREASURER – ACCOUNTS PAYABLE” from the drop down menu.
- **G/L Date (required)**
  - This will automatically populate with the date you are entering the purchase order and should never be changed.
- **Deliver by Date (optional)**
  - Delivery should be set for two weeks out, however, if you are entering a blanket purchase order this field should be left blank.
- **Expiration Date (optional)**
  - This field should only be used for blanket purchase orders or contracts. The date should specify the end of the year or the expiration date of the contract.

**Step 5:** Fill out the bottom half of the page using the guidelines below:

Item		Detail	
Item	COPY PAPER	Vendor Part Number	
Description	8.5 x 11	Employee	105300 - SMITH, JESSICA
Quantity	10.0000	Ship Via	
Unit of Measure	EA - Each	Ship To	PAYROLL - ADMINISTRATIVE SERVICES/ PAYROLL
List Price per Unit	\$5.0000	Freight Terms	
Discount Percent	5.0000 \$50.00	Confirming Request	<input type="checkbox"/>
G/L Account	A.1430.1600.7410 - Supplies & Materials	1099 Item	<input type="checkbox"/>
Project		Taxable Item	<input type="checkbox"/>
Contract		Create New Asset	<input type="checkbox"/>

- **Item (required)**
  - Begin typing the item name in the space provided. All matches will appear in the drop down menu and you will be able to select the item.
- **Description (required)**
  - This is the individual item description and should be concise, but detailed. Click on the  button that is to the right of the field. In the text box that appears you should enter the item number, contract number, and vendor quote numbers.
- **Quantity (required)**
  - Enter the quantity you are ordering.
- **Unit of Measure (required)**
  - Select the appropriate unit of measure from the drop down menu.
- **List Price Per Unit (required)**
  - Enter the price per unit including a decimal. Once you enter the price per unit the number next to the field will automatically update with the price per unit multiplied by the quantity requested.
- **G/L Account (required)**
  - Click on the  button that appears to the right of the field and select the appropriate account, or simply type in the full account number. If you are using multiple G/L accounts click on the  button that appears to the right of the field. Select the GL accounts you want to use, assign a percentage, and click save, then click cancel to go back to the main page.
- **Employee (optional but recommended)**
  - Begin typing your name or employee ID number into the drop down menu then select your name.
- **Ship To (required)**
  - Select the location you want the item to be shipped to.

**Step 6:** - Click “Save” when you have finished entering the required information.

- Click “Save/New Item” if you would like to add more items to the purchase order you just created.
- Click “Save/New PO” if you would like to enter a new purchase order.



**Step 7:** How to add verbal quotes:

- Click on the “Quotes” button at the top of the screen.



- Begin typing the vendor name in the space provided. All matches will appear in the drop down menu and you will be able to select the vendor. If the vendor does not exist, you will need to submit a W-9 to the Purchasing Department. See the “New Vendors/W-9 Form” section of this manual or contact the Purchasing Department. You will not be able to input the purchase order until the vendor is added to New World ERP by the Purchasing Department.
- The only required field other than the vendor is the “List Price per Unit” field.
- When you have filled out the required information click “Save”.
- To add more than one verbal quote click the “New” button in the bottom left of the screen.
- \*\*\* Note: Verbal quotes require you to supply an email chain confirming what quote that the vendor gave as part of the supporting documentation. This can be uploaded in the document section that is referred to in Step 8.

**Step 8:** How to add non-verbal quotes:

- Scan all documents and save them on your computer.
- Click the “Documents” button at the top of the screen.



- A new window will open. Click the “Add” button on the bottom left of the screen. Then use the “Upload” button to import the supporting documents you saved on your computer.

- Once you have successfully uploaded the document(s) a check mark will temporarily appear over the file name. Once you have seen the check mark you can click the X button to leave the page.

**Step 9:** Purchase Order Validation:

- Click on the “Validate” button at the top of the screen. A green box will pop up telling you the purchase order has been validated. If a box pops up telling you that the purchase order is not eligible for validation, try saving the purchase order again before clicking the Validate button (like you did in Step 6).

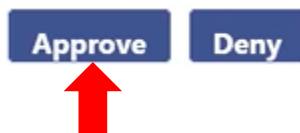


**Step 10:** Purchase Order Approval:

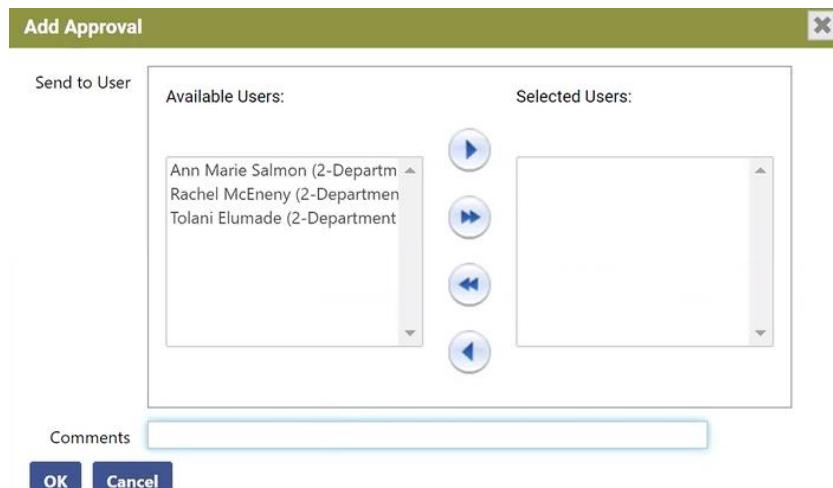
- Click on the “Approvals” button at the top of the screen.



- Click the “Approve” button that appears below the different levels of purchase approval.



- Select the user(s) you would like to designate as the next level approver by using the arrows. Once the users appear in the “Selected Users” box, click “OK”.



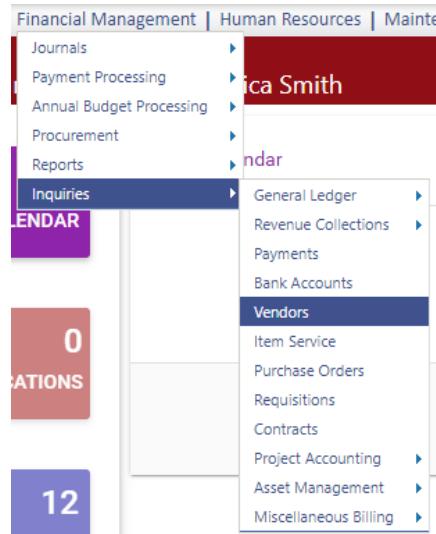
**Step 11:** Your screen will then show that you have approved the purchase order and it is ready to be approved by the next level approver. It is a good practice to notify the next level approver verbally or by email that there is a purchase order awaiting their approval. Once the purchase order has been approved on all levels, the Purchasing Office will send the purchase order to the vendor.



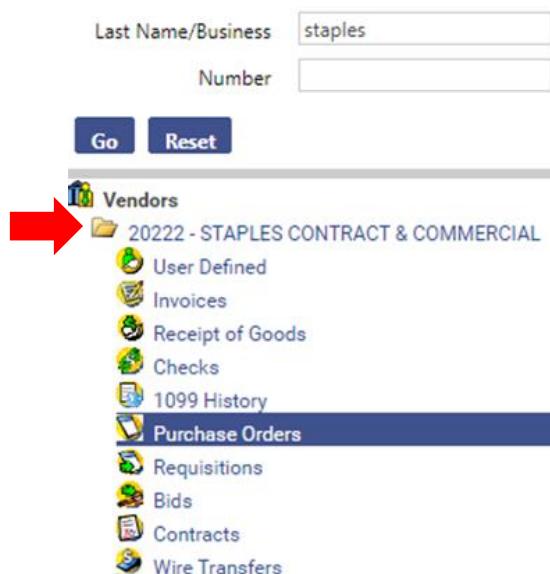
## Appendix II – How to Reprint a Purchase Order

**Step 1:** Using your internet browser, open New World ERP by using the following link: <https://clv-nwapp04.albanyny.gov/nwerp/>. Then sign in with your network username and password.

**Step 2:** From the home screen select Financial Management > Inquiries > Vendors.



**Step 3:** Enter the business name (or last name if it is a person) or the vendor identification number then click “Go”. Then click on the folder that appears to the left of the vendor’s name to expand. Then select “Purchase Orders”.



**Step 4:** Look for the purchase order you want to print and click on the purchase order number.

Status	Number	Description	Type	G/L Date	Amount	Exp
Open	2022-00001043	STAPLES- MOUNTED HANGING FILE HOLDERS	STANDARD	02/23/2022	\$89.96	



**Step 5:** A new window will open with the purchase order information. On the upper right-hand corner of the window click the printer icon.



**Step 6:** Another new window will appear. Select all the fields that you want to be displayed on the purchase order, then click “OK”. It is recommended to check all boxes when printing a purchase order.

**Print Purchase Order**

Print Full Descriptions

Print G/L Account Distributions

Calculate and Print Tax Amount

Print Sub Totals by PO Status

PO Totals Include Only Open Items

Print Approvals

**OK** **Cancel**

**Step 7:** The following window will appear on your screen. Click “OK”.

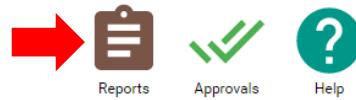
**Print Purchase Order**

Print Results

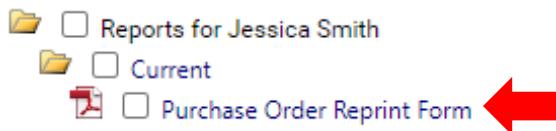
- STAPLES- MOUNTED HANGING FILE HOLDERS - Print request submitted.

**OK**

**Step 8:** Navigate to the top right-hand corner of your screen to view your reports.



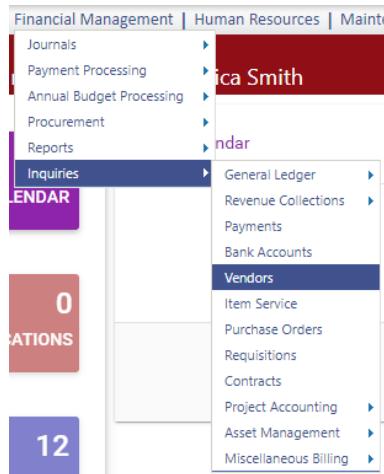
**Step 9:** On the left you will see the file containing the purchase order. Open the file and proceed with your normal printing process by selecting the printer icon shown below.



### Appendix III – How to Check Aggregate Thresholds

**Step 1:** Using your internet browser, open New World ERP by using the following link: <https://clv-nwapp04.albanyny.gov/nwerp/>. Then sign in with your network username and password.

**Step 2:** From the home screen select Financial Management > Inquiries > Vendors.



**Step 3:** Type the name of the vendor or the vendor number in the space provided and select "Go".

**Step 4:** Click the little file folder that appears to the left of the vendor name as shown below. Then select "Purchase Orders". At the top of the screen you will have the option to specify dates. For the purpose of aggregate thresholds, you will want to specific January 1 through today's date. You will then be able to see all purchase order details as shown below for that vendor within the timeframe you specified, including the amount expensed, amount encumbered, and total amount. Please note that most departments will only be able to see the aggregate thresholds for their department, not for the entire City. If you would like to see the aggregate thresholds for the entire City, contact the Purchasing Office for assistance by emailing [COAPurchasing@AlbanyNY.gov](mailto:COAPurchasing@AlbanyNY.gov).

Last Name/Business

Number

**Go** **Reset**

**Vendors** 

- 20222 - STAPLES CONTRACT & COMMERCIAL
- User Defined
- Invoices
- Receipt of Goods
- Checks
- 1099 History
- Purchase Orders**
- Requisitions
- Bids
- Contracts
- Wire Transfers

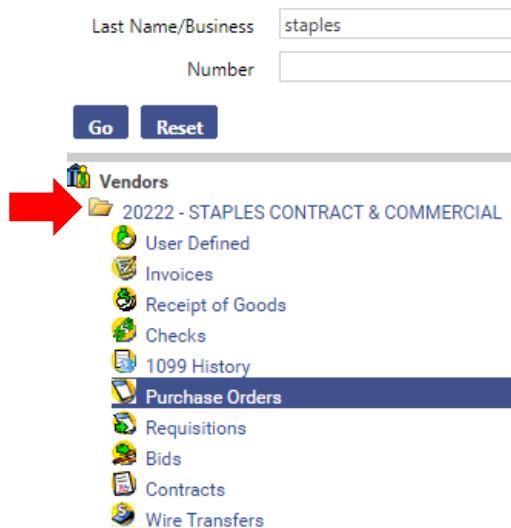
	#	Amount	Expensed	Encumbered
Edit	8	\$998.51	\$0.00	\$998.51
Open	19	\$12,930.85	\$2,495.99	\$10,292.41
Complete	21	\$4,131.54	\$4,071.56	\$0.00
<b>Total</b>	<b>48</b>	<b>\$18,060.90</b>	<b>\$6,567.55</b>	<b>\$11,290.92</b>
Canceled	4	\$254.97	\$0.00	\$0.00
Voided	0	\$0.00	\$0.00	\$0.00

## Appendix IV – How to Look Up an Invoice Payment

**Step 1:** Using your internet browser, open New World ERP by using the following link: <https://clv-nwapp04.albanyny.gov/nwerp/>. Then sign in with your network username and password.

**Step 2:** From the home screen select Financial Management > Inquiries > Vendors.

**Step 3:** Type the name of the vendor or the vendor number in the space provided and select “Go”. Then click on the folder that appears to the left of the vendor’s name to expand. Then select “Purchase Orders”.



**Step 4:** Find and click on the purchase order number that pertains to your request.

Status	Number	Description	Type	G/L Date	Amount
Completed	2022-00001190	OFFICE SUPPLIES	STANDARD	03/08/2022	\$124.14



**Step 5:** Scroll down to the “AP Invoices – Detail” section and open the section by clicking on the

button on the right.

**Step 6:** Each line item associated with that purchase will now appear on your screen. Click on the  button to the left of the line item you want to see information for. As shown below, when you expand the line item, you are able to see the invoice date, status, vendor, invoice number, description, and amount. If you see these headings but do not see any information below them, this means that the invoice has not yet been paid.

▲	Seq	Description	Quantity	Received	Price per Unit	U/M
		▼  Equals...	▼  Contains...	▼  Equals...	▼  Equals...	▼  Contains...
-	1	OFFICE SUPPLIES - Avery Notarial Seals Inkjet Special...	10.0000		1.3900	EA
Invoice Date		Status	Vendor		Invoice Number	Description
03/12/2022		Paid	STAPLES CONTRACT & COMMERCIAL		3502435866	OFFICE SUPPLIES-409623/1231065

**Appendix V – Purchase Order Adjustment Form****ADJUSTMENT TO PURCHASE ORDER REQUEST FORM**

(PLEASE COMPLETE ENTIRE FORM)

DATE: \_\_\_\_\_

PURCHASE ORDER NUMBER: \_\_\_\_\_

VENDOR: \_\_\_\_\_

ORIGINAL PURCHASE ORDER AMOUNT: \$ \_\_\_\_\_

INCREASE TO PURCHASE ORDER: \$ \_\_\_\_\_

DECREASE TO PURCHASE ORDER: - \$ \_\_\_\_\_

NEW PURCHASE ORDER TOTAL: \$ \_\_\_\_\_

WE ARE REQUESTING AN INCREASE TO THE PURCHASE ORDER FOR  
THE FOLLOWING REASON:

---

---

---

---

---

---

---

\_\_\_\_\_  
AUTHORIZED SIGNATURE

**Appendix VI – Purchase Order Close Out Form (Single)**

**CLOSE OUT PURCHASE ORDER REQUEST FORM**

(PLEASE COMPLETE ENTIRE FORM)

DATE: \_\_\_\_\_

DEPARTMENT: \_\_\_\_\_

PURCHASE ORDER NUMBER: \_\_\_\_\_

VENDOR: \_\_\_\_\_

TOTAL AMOUNT EXPENDED AT CLOSE OUT: \_\_\_\_\_

---

AUTHORIZED SIGNATURE

## Appendix VII – Purchase Order Close Out Form (Multiple)

## CLOSE OUT PURCHASE ORDER REQUEST FORM

DATE:

**DEPARTMENT:**

PURCHASE ORDER NUMBER	VENDOR	TOTAL AMOUNT EXPENDED AT CLOSE OUT

**AUTHORIZED SIGNATURE:**



**Appendix IX – Emergency Purchase Justification Example**

TO: Mayor  
FROM: Department Head  
RE: Emergency Repairs to Sanitation Packer #415  
DATE: MM/DD/YYYY

The purpose of this memorandum is to certify under the Second Class Cities Law that emergency repairs to sanitation packer #415 are necessary in the interest of public health and safety and to secure your approval in that regard. This is one of our waste collection packers that is critically needed for daily trash pick-up. We do not have a replacement unit for it. The unit needs a complete engine rebuild and overhaul. I estimate the cost of the repairs to be approximately \$8,000. If satisfactory, please return to the secretary of the Board of Contract and Supply.

---

Department Head Signature

---

Title

APPROVED: \_\_\_\_\_

DATE: \_\_\_\_\_

REVIEWED BY: \_\_\_\_\_

cc: Budget Director  
Corporation Counsel

**Appendix X – Statement of Sole Source Justification Form****Statement of Sole Source Justification**

I, (department head name, title and City department), attest that (vendor's name, address, zip code, and telephone number) is the sole source vendor for the following equipment or service (list all items or services including brand name and stock numbers).

This department had solicited quotes/bids for the above equipment from the following vendors in similar fields (list the names and addresses of all the vendors contacted). (Identify vendor's name who can provide equipment/service)'s (equipment/service) provides (Identify the specificity of the vendor's equipment/service which benefits the City), which uniquely benefits the City in (identify the unique benefit the vendor's equipment/service provides to the City). The other vendors' (equipment or service) do not provide substantially equivalent or similar benefits. (Give examples: identify how the other vendors' equipment or service does not provide substantially equivalent or similar benefits). These other vendors responded with a "no quote/no bid" because they are unable to provide the (equipment/service) we need. (Identify vendor's name who can provide equipment/service) is the only company which can supply this specific (equipment/service) (identify the specificity). Considering the benefits to the City of (identify vendor's name who can provide equipment/service)'s (equipment/service), I find the cost of the good or service is reasonable in comparison to other good or service in the marketplace.

I certify the above is true and accurate and as such I request that (insert vendor's name) be approved and designated as the sole source for the above named equipment/service and waive competitive bid.

Date: \_\_\_\_\_

Signed:

\_\_\_\_\_  
Department Head Signature

\_\_\_\_\_  
Title

## Appendix XI – Auctions International Advertisement Example



### City of Albany DPW-NY #28593

**Auction Opens:** Thu, May 12 8:43am ET

**Auction Closes:** Thu, May 26 6:05pm ET

#### Lot Title

- 0001 (#1) 2002 Tennant 7400 Ride On Floor Scrubber
- 0002 (#2) Bandit 65XP Wood Chipper
- 0003 (#3-535) 2003 Chevy Impala 4 Door Sedan
- 0004 (#4) 2009 Chevy Silverado 3500HD Garbage Truck
- 0005 (#535) 2007 Dodge Ram 3500HD Landscaping Truck.
- 0006 (#6-233) 2007 Ford F350 Super Duty Crew Cab Flatbed Truck
- 0007 (#7-V7) 2004 ODB LCT65 Extreme Vac
- 0008 (#8-V4) 2002 ODB LCT650 Vac
- 0009 (#9) 1998 Ford Club Wagon XI Super Van
- 0010 (#10) 2005 Ford E350 Extended Van

**Payment Terms:** Payment will be due immediately upon notification of seller approval by email invoice, after the Seller approves the bids. After you receive the invoice, you will have five (5) business days to get your payment mailed to our office, or your account will be suspended, and the item will be awarded to the backup-bidder, or re-listed. Please mail payment in certified funds or money order to: Auctions International, 11167 Big Tree Road, East Aurora, NY 14052. Payment questions? Please Call: 1-800-536-1401 x 201. **GENERAL QUESTIONS:** email [service@auctionsinternational.com](mailto:service@auctionsinternational.com)

**Payment Methods:** We accept cash, cashier's check, wire/bank transfer and credit cards.

**Out-of-State Buyers:** Buyers outside of New York State need to send us a completed [NY State DTF Form](#) before we can remove sales tax from their invoices.

**Successful High Bidders:** Please note when you are provided an invoice to pay, there are two different payment amounts. 1) A non-discounted rate for payments made with credit/debit cards, and, 2) A discounted rate for payments made with certified funds; cash, bank transfer, guaranteed funds or money order.

Please make sure your payment amount reflects your choice of payment method.

Individuals who pay the non-discounted rate with cash or guaranteed funds will have a one-time, courtesy refund issued for the overpayment. Subsequent overpayments will have a \$35 administrative fee deducted from the remittance amount (or charged against) the invoiced buyer. Please make sure you are paying the correct amount, per your means of payment.

## Appendix XII – Living Wage Compliance Form

### Living Wage Compliance

City Code § 42-161 requires a living wage be paid to employees by any contractors awarded a contract by the City primarily for furnishing services to or for the City (excluding the purchase of goods or other property, the leasing of property or the development, redevelopment or rehabilitation of real property) and that involves an expenditure by the City to the contractor of at least \$20,000, or the retention by the contractor of fees of at least \$30,000, during a period of one year.

The current Living Wage, as defined by the ordinance is as follows:

If at least 70% of health care benefits are covered by employer:	\$
Other:	\$

Pursuant to the law, every Proposal shall include a written commitment by the applicant to pay all covered employees a living wage and shall include a list of job titles and wage levels of all covered employees. Please provide titles and wage levels below for each employee who directly expends his/her time on a contract with the City.

Company Name: \_\_\_\_\_

Job Title	Wage Range

By signing below you are agreeing to pay all covered employees a Living Wage as set forth above for the duration of the contract with the City.

Title: \_\_\_\_\_  
Date: \_\_\_\_\_

Office Use Only	
Contract No:	_____
Dates:	_____

## Appendix XIII – Request for Purchase Card Form



### **CITY OF ALBANY Request for Purchase Card Form**

Date: \_\_\_\_\_

To: \_\_\_\_\_

From: \_\_\_\_\_

<b>CARD HOLDER INFORMATION</b>	
Applicant Name:	Department Head/Supervisor Name:
Job Title:	Phone:
Department:	E-mail:
Phone:	
E-mail:	
<b>FINANCIAL INFORMATION</b>	
Proposed Single Purchase Limit: \$	Proposed Monthly Purchase Limit: \$
<b>APPROVING OFFICIAL INFORMATION</b>	
Treasurer's Office Approval:	
Budget Office Approval:	

#### **Responsibilities of Purchase Cardholders (Please reference the City of Albany's Purchase Card Policy and Procedures Form):**

- Cardholders must ensure that the purchase card is never used as a means to avoid appropriate procurement or payment procedures.

- Cardholders must take all necessary precautions to keep the purchase card and card number in a secure location.
- Cardholders must ensure that only authorized City employees and officials use the purchase card, and that the card is used for authorized City purchases only.
- Cardholders must keep a log of all transactions (Please see Purchase Card Reconciliation Form) and collect original receipts for all transactions made.
- Cardholders must be able to justify that every use of the purchase card is necessary, and is for the purposes of official City business.
- It is the Cardholder's responsibility to follow-up on any erroneous charges, returns, or adjustments and to ensure proper credit is given on subsequent statements.
- If unauthorized charges occur, or if a card is lost or stolen, the cardholder must immediately contact customer service of the financial institution and notify the Treasurer's Office in writing immediately.

---

Signature of Cardholder Applicant

Date:

---

Signature of Department Head/Supervisor

Date:

## **Appendix XIV – Purchase Card Reconciliation Form**

## **Appendix XV – Mileage Reimbursement Form**

I attest that I drove all these miles for city business and legitimate work purposes. I promise that I did not lengthen or extend any of these trips and I did not include miles/trips driven for personal/non-work purposes. I understand that my mileage requests will be audited and I may be disciplined for claiming more miles than reasonably needed to be driven between locations.

Requester (signature):

Date:

Authorized Approver (name, title, and signature):

Date:

This Form Must Be Submitted to Supervisor or Authorized Approver Within 30 Days of Travel

Appendix XVI – Vehicle Procurement Form**VEHICLE PROCUREMENT FORM**

<u>Department:</u>
<u>Account #:</u>
<u>Total Cost:</u>
<u>Vehicle Year, Make, &amp; Model:</u>
<u>MPG City &amp; Highway:</u>
<u>Approximate Mileage this Vehicle will be Driven Annually:</u>
<u>Insurance Estimate:</u>
<u>Estimated Annual Routine Maintenance Costs:</u>
<u>What is the Anticipated Useful Life of this Vehicle?</u>
<u>Can Drug Forfeiture Funds be Utilized for the Purchase of this Vehicle? (APD Only)</u>
<u>Vehicle Color:</u>
<u>Is this Vehicle Unmarked?</u>
<u>Which Employee(s) will be Assigned to this Vehicle?</u>

<b><u>Will this be a Take Home Vehicle, Shift Vehicle, Assigned Work Vehicle, or Pool Vehicle?</u></b>
<b><u>Please list the Passengers who will regularly ride in this Vehicle:</u></b>
<b><u>What will this Vehicle Be Used For?</u></b>
<b><u>What Non-Standard Features are Needed to Serve the Functions that this vehicle will be used for? (Please Provide a Justification for Each)</u></b>
<b><u>What Additional Equipment will this Vehicle Require? (Please Provide Cost Estimates)</u></b>
<b><u>What Equipment &amp; Cargo will regularly be transported in this vehicle?</u></b>
<b><u>Does this Vehicle Require Towing Capacity? If yes, please explain.</u></b>

Could this Vehicle be Purchased as a Sedan? Why or why not?

Could this Vehicle be Purchased as a Hybrid? Why or why not?

Would the Purchase of this Vehicle fall in line with the Albany 2030 Plan's Sustainability Goals?

What Vehicle Will this be Replacing?

Where Will the Vehicle that this is Replacing be transferred to?

What Efforts were made to Reallocate Current Vehicles?

Will the Purchase of this Vehicle increase the Net Number of Vehicles in your Department's Fleet?

Attach Price Estimates & Performance Comparisons for Three Alternate Vehicles

## Appendix XVII – Fleet Inventory Update Form

CITY OF ALBANY FLEET INVENTORY UPDATE FORM				
<b>VEHICLE INFORMATION</b> <span style="float: right;">(Please Complete Applicable Fields Only)</span>				
1. Department	2. Year	3. Make	4. Model	5. Mileage
6. Vehicle Identification Number	7. License Plate	8. City Vehicle Type*	9. Original Cost of Vehicle	10. Disposal Price
11. Procurement Date	12. Procurement Method (Bond, Operating Budget, Donation, Seizure)	13. Disposal Date	14. Disposal Method (Auction, Salvage, Sale)	
15. Intended Use/Assignment				
16. Authorized User(s)				
<b>FLEET UPDATE INFORMATION</b>				
<input type="checkbox"/> Vehicle Aquisition	By checking this box you are indicating that the City is in receipt of the vehicle and you are requesting that it be added to the City Insurance Policy and the City Fleet Inventory.			
Notes:				
<input type="checkbox"/> Vehicle Disposal	By checking this box you are indicating that the City is no longer in possesion of the vehicle and you are requesting that it be removed from the City Insurance Policy and the City Fleet Inventory.			
Notes:				
<input type="checkbox"/> Department Transfer	Please indicate which department the vehicle is being transferred to.			
Notes:				
<b>EMPLOYEE ACKNOWLEDGEMENT</b>				
Please initial the following statement and print and sign below.				
_____ I hereby acknowledge that the information provided above is true and correct to the best of my knowledge				
_____ Print Name, Title/Position				
_____ Signature	_____ Date			
<i>Please sign and return this form with any accompanying documents to the Compliance Coordinator and send a copy to the Treasurer's Office</i>				