

County of Albany
Department of Affirmative Action
Compliance Forms

**COUNTY OF ALBANY
SCHEDULE OF MBE/WBE AND LABOR PERFORMANCE**

The Division of Affirmative Action monitors subcontracting and labor participation for contracts let by agencies and authorities of Albany County. The information requested below must be completed by the General Contractor and submitted within fifteen days of receipt of Notice of Award. The figures represent the contractor's best estimate of workforce needs and minority/female representation of that workforce. Questions regarding completion of this form can be directed to the County of Albany, Division of Affirmative Action at 518-447-7010.

Contractor: _____ Address: _____ City/State/Zip: _____

Telephone: _____ Fax Number: _____ Federal ID No.: _____

Project Name: _____ Project Cost: _____ Completion Date: _____

Contract Description: _____

Bidder is an approved ☐ MBE ☐ WBE If yes, specify agency: _____

Joint Venture

MBE/WBE participation is broken down into Joint Ventures with Bidder, Subcontracting Construction, Trucking or Services, and Materials or Supplies.

Joint ventures between the Prime Bidder and MBE/WBE firms are shown below. Joint Ventures with Bidder (check one):

☐ No MBE/WBE joint ventures with Bidder on this Contract. ☐ Bidder is joint venturing with the following firm(s)
(attach a copy of joint venture agreements to this form)

Name: _____ Address: _____ City/State/Zip: _____

Telephone: _____ Federal ID No: _____

MBE Share of Joint Venture: _____ % x Total Bid Amount = \$ _____

WBE Share of Joint Venture: _____ % x Total Bid Amount = \$ _____

Sub-contractor Performance

MBE Goal: 7% x Total Bid Amount = \$ _____

WBE Goal: 5% x Total Bid Amount = \$ _____

Please provide the information requested for all subcontractors participating on this project (include MBE/WBE/DBE firms).

Sub-contractor Name, Address, Phone	Amount of Sub-contract & Award Date	Description of Work (Trade)	Start Date _____ Completion Date	Contracted Payment Schedule
☐ MBE ☐ WBE				
☐ MBE ☐ WBE				
☐ MBE ☐ WBE				
☐ MBE ☐ WBE				
☐ MBE ☐ WBE				

I, _____, representative of _____ declare that the
(print) (firm)
information provided is true and represents accurately my firms efforts to comply with the Affirmative Action Policy. We shall continue to make every effort to ensure that M/W/DBE firms have the maximum opportunity to compete for, and perform contracts let by the County of Albany.

Signature: _____ Date: _____

SUBMIT MONTHLY

FORM C

**County of Albany
Monthly Utilization Report**

This report must be completed by each firm working on the site and submitted to the General Contractor on a monthly basis. The General Contractor forwards the reports to the County of Albany, Division of Affirmative Action, 112 State Street, Room 670, Albany, NY 12207. Fax (518) 447-5586. For assistance call (518) 447-7010.

Contractor: _____ Address: _____ City/State/Zip: _____

Telephone: _____ Fax Number: _____ Federal ID No.: _____

Project Name: _____ Project Cost: _____ Completion Date: _____

Reporting Period: _____ Month _____ Year

Trade	Number of Hours Worked by Minorities	Number of Hours Worked by Women	Number of Hours Worked by Non-Minorities	Total Hours Worked
Total(s)				

Information provided by (please print): _____ Date: _____
(See over for instructions)

M/W/DBE Payments

M/W/DBE Firm (s) Participating On The Project	Payments Made This Month	Payments Made To Date

INSTRUCTIONS

This form must be completed and submitted by the Contractor/Vendor by the 10th of each month for the duration of the contract. The form must be accompanied by copies of checks (front and back) made payable to MBE/WBE subcontractor and suppliers.

This form is required pursuant to the contract specifications. Failure to submit will result in non-compliance.

County of Albany
Department of Human Resources
Division of Affirmative Action
112 State Street, Room 670, Albany, NY 12207
Phone: (518) 447-7010

NOTE: IF THERE IS NO ACTIVITY FOR THE REPORTING PERIOD, PLEASE NOTE ACCORDINGLY.

Waiver Request for Subcontracting and/or Labor Performance

If your firm has determined that it is not feasible to meet the subcontracting and/or labor performance goals specified in the contract, complete and return this form within fifteen days of the Notice of Award. The request must identify reasons why the firm cannot reach the labor and subcontractor goals applicable. The Division of Affirmative Action will evaluate each waiver individually. Please be advised that submission of this request does not guarantee waiver of the requirements. Attach additional sheets if necessary.

Contractor: _____ Address: _____ City/State/Zip: _____

Telephone: _____ Fax Number: _____ Federal ID No.: _____

Contract Type/Number: _____ Project Cost: _____

☐ Request Waiver of Minority/Woman Labor Participation Goal. Please explain:

Actions taken to include minority/women labor _____

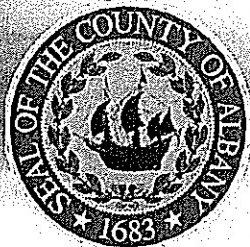
☐ Request Waiver of Minority Subcontractor Participation Goal. Please explain:

Actions taken to include MBE and/or WBE Subcontractor(s) _____

Name (please print)

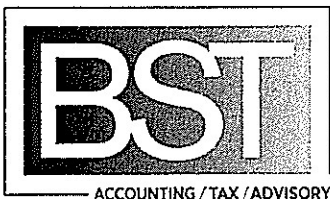
Signature

Title



**Technical & Professional Proposal for
Auditing Services:
County of Albany, New York
RFP # 2020-106**

September 25, 2020



Paul L. Goetz, Partner
BST & Co. CPAs, LLP
26 Computer Drive West
Albany, New York 12205
(518) 459-6700
pgoetz@bstco.com

ACTIVELY WORKING TOGETHER SO INFORMED, CONFIDENT DECISIONS ARE MADE



Transmittal Letter

September 25, 2020

Karen A. Storm
Purchasing Agent
County of Albany
112 State Street, Room 1000
Albany, NY 12207

Dear Ms. Storm:

BST & Co. CPAs, LLP (BST) is pleased to submit this proposal to provide professional auditing services for the County of Albany, New York (the County) for the fiscal years ending December 31, 2020, 2021 and 2022.

Based in Albany County, BST is a locally owned and operated professional services firm that has a proud history serving governmental organizations throughout New York State. Our prior experience with the County and governmental entities similar to the County, coupled with the qualifications and experience of our professionals, makes BST highly qualified to provide the auditing and financial compliance services required. We have the experience and have proven our ability to deliver high quality, value-added services to the County beyond the required audit and financial services.

We believe that BST brings the following unique advantages the County:

- Locally based firm leadership and office of 100+ personnel;
- Responsive year-round professional service;
- Unmatched technical resources, including on-staff retired State Comptroller and Local Government Finance personnel;
- Deep understanding of your needs through professional affiliations including the New York Conference of Mayors (NYCOM) and Government Finance Officers Association (GFOA);
- Familiarity with County operations and personnel.

As a partner in the Firm, I am authorized to make representations and bind the Firm to statements made within this proposal. Please contact me by phone 518-459-6700 or email at pgoetz@bstco.com with any questions about our firm, our proposal, or to schedule an oral presentation.

We are excited for the opportunity to continue to serve the County of Albany, New York. Our attached proposal describes our extensive experience with government and municipal organizations, our practice, our people, our reputation for quality services, and how we will provide such to the County.

Very truly yours,

BST & Co. CPAs, LLP

Paul L. Goetz, Partner



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Executive Summary

As big believers in transparency, we decided to put the things you really want to know up front.

BST & Co. CPAs, LLP's (BST) governmental clients represent a significant portion of our practice. Our public-sector experience includes an extensive array of New York State counties, cities, towns, villages, authorities, and other local governments. Our firm is a recognized leader in providing services to the public sector in the Capital District and throughout New York State. The County of Albany, New York (the County) is a valued member to our current governmental client base. We look forward to the opportunity to continuing to serve as the County's independent auditors.

What You Need

We understand that the services the County needs are:

1. Annual audit of the County's general purpose financial statements for all funds and account groups for the fiscal years ending December 2020, 2021 and 2022;
2. Federal Single Audit of the County's federal programs;
3. New York State Department of Transportation Single Audit for the County's New York State funded transportation assistance programs;
4. Annual Audit of the Consolidated Fiscal Report in conformance with the guidelines provided by the NYS Office for People with Developmental Disabilities, NYS Office of Mental Health, and NYS Office of Alcoholism and Substance Abuse;
5. Annual audit of the Consolidated Fiscal Report in conformance with the guidelines provided by the NYS Office of Mental Health;
6. Annual audit of the Times Union Center; and
7. Annual audit of the Albany County Nursing Home (Shaker Place).

What We Will Deliver

Our goals are met only if yours are exceeded.

We are excited about this opportunity and are highly qualified to meet and surpass your outlined requirements. We will deliver your audit by providing:

- Professionals who are highly skilled in working with governmental entities, so you never have to worry if they understand what you do or need;
- Consistent communications with your management team throughout the year so you are never left wondering whether your work is getting done;
- Experts who bring forward-looking methods of planning and savings, so you know we are thinking about the future as well as the past;
- Prompt and responsive service so you know that your needs will be met with a sense of urgency and attention that you desire and deserve.



Executive Summary

Why BST?

Our commitment, service, and unmatched expertise is just part of what sets us apart.

- With decades of experience, our Government Service Group is one of the best in New York State, taking pride in going above and beyond to understand your ever-changing needs and requirements.
- Innately curious, we ask lots of questions and look past the initial numbers to understand the "why" and the "how" behind them.
- Every person at BST is fully committed to providing the highest level of service possible, and in turn, we are committed to giving them the support and skills they need to do an outstanding job.
- We believe transparency and consistent and clear communication are at the core of what we do. We always commit to keep you informed, do the best job possible and deliver your work on time.



Qualifications/Experience

Services Customized to Suit Your Needs

Anyone in the government arena can tell you that dramatic changes are afoot in the industry. Increased demand for services, reduced federal and state funding, declining interest rates, and reliance on technology. On top of that, governments also face ever changing federal and state regulations, increased threats of litigation, and added reporting requirements.

While there are certainly generalities that apply to governments – like all other industries – each one has its own unique

challenges and needs. And that is where we bring the most value to the table – in identifying ways to meet those needs and capitalize on opportunities to save money, increase capacity and serve greater numbers of those in need of the services you provide.

We are grateful for this opportunity to throw our hat in the ring to be your partner and deliver this important work. We have detailed below the services we provide that can help you achieve these objectives. Below we outline BST's commitment to your industry.

COMMITMENT TO GOVERNMENTAL AND MUNICIPAL ACCOUNTING



Our *Governmental and Municipal Services Group* is comprised of over 25 staff, all of whom have strong relevant experience and are specially trained to offer a wide range of services from traditional auditing, accounting, and financial consulting to highly diverse and specialized services that meet the needs of our governmental and municipal clients. As opposed to many CPA firms, our proposed service team is not involved with income tax services. Accordingly, the team is available year-round to service the needs of our governmental clients. This service team, as further detailed in this proposal, is comprised of experts and financial specialists in governmental auditing and accounting.

Our Firm offers in-depth experience and serves a variety of governmental clients, including counties, cities, towns, villages, federal departments and agencies, New York State departments, government funds and programs, fire districts, and authorities (industrial development, water, electric, solid waste, and local development and special purpose corporations). Our services include:

- Financial statement audits
- Program Audits and Single Audits in accordance with Single Audit Act/Uniform Guidance
- Assistance with GASB accounting standard implementations



Qualifications/Experience

COMMITMENT TO GOVERNMENTAL AND MUNICIPAL ACCOUNTING – Continued

- Assistance with Certificate of Achievement for Excellence in Financial Reporting Program (CAFR)
- Bookkeeping and accounting assistance
- Assistance with ABO filings
- Assistance with preparation of New York State Annual Financial Report Update Documents
- Risk assessments and analysis
- Internal audit plan development and implementation
- Laws and regulations implementation assistance and compliance testing
- System and internal control reviews
- Utility rate revision studies
- Records reconstruction
- Computer needs assessments, conversion plans and implementation
- Fraud, defalcation, and malfeasance research and documentation
- Assessment of employee benefits alternatives
- Acquisition or valuation studies
- Expert witness and valuation services for eminent domain condemnation proceedings

AICPA Governmental Audit Quality Center



The Firm is a founding member of the *AICPA Governmental Audit Quality Center* (GAQC). Membership in the GAQC demonstrates our Firm's commitment to audit quality in the critical areas of governmental accounting. The GAQC serves as a comprehensive resource provider for member firms in the performance of governmental audits and provides the opportunity to network and exchange information with others within the community of member firms.



Qualifications/Experience

Government Finance Officers Association



The Firm is also a member of the *Government Finance Officers Association (GFOA)*. Membership in the Association demonstrates our Firm's commitment to quality in governmental financial reporting. Paul Goetz and Brendan Kennedy serve as financial statement reviewers for the GFOA National's *Certificate of Excellence in Financial Reporting* program. In addition, BST professionals are frequent instructors at NYS GFOA events, including the Annual Meeting, and GFOA Finance/Accounting School.

New York Conference of Mayors and Municipal Finance Officers



The Firm is a member of the *New York Conference of Mayors and Municipal Finance Officers (NYCOM)*. NYCOM's mission is to serve as:

- 1) A powerful advocate for Village and City governments and their taxpayers before the state's Legislative, Executive and Judicial branches of government;
- 2) A readily accessible source of practical information touching upon every area of municipal activity; and
- 3) The preeminent provider of training for local government officials.

BST is represented at both NYCOM's annual meeting in the spring and fall training school. In addition, BST is periodically asked to present at NYCOM events.

New York State Association of Counties



In addition to being its independent auditor, the Firm is an Associate Partner in the *New York State Association of Counties*. Our relationship with NYSAC provides us insight to the challenges and needs of County government officials throughout the State.



Qualifications/Experience

A History of Service-Focused Work



We currently provide auditing and related financial consulting services to approximately 100 New York State counties, cities, towns, villages, and other governmental agencies. The following is a sample of our current or recent governmental engagements.

Counties

Albany County
Fulton County

Montgomery County
Saratoga County

Cities

City of Rensselaer
City of Oneonta
City of Poughkeepsie

City of Rye
City of Saratoga Springs

Towns

Town of Ballston
Town of Bethlehem
Town of Colonie
Town of Duanesburg
Town of Halfmoon

Town of Massena
Town of Ramapo
Town of Saratoga
Town of Lake Pleasant
Town of Queensbury

Villages

Village of Akron
Village of Arcade
Village of Bath
Village of Bergen
Village of Churchville
Village of Dobbs Ferry

Village of Old Westbury
Village of Philadelphia
Village of Penn Yan
Village of Ossining
Village of Ravena
Village of Rouses Point



Qualifications/Experience

Villages – Continued

Village of Fairport	Village of Sherburne
Village of Frankfort	Village of Silver Springs
Village of Green Island	Village of Smyrna
Village of Greenport	Village of Solway
Village of Hamilton	Village of Spencerport
Village of Holley	Village of Stewart Manor
Village of Ilion	Village of Theresa
Village of Kinderhook	Village of Tupper Lake
Village of Lake Placid	Village of Voorheesville
Village of Lynbrook	Village of Watkins Glen
Village of Marathon	Village of Wellsville
Village of Mayville	Village of Westfield
Village of Mohawk	Village of Stillwater

State Level Authorities

- Materials Innovation and Recycling (formerly Connecticut Resource Recovery Authority)
- New York Local Government Assistance Corporation
- New York State Higher Education Services Corporation
- New York State Housing Trust Fund Corporation / Governor's Office of Storm Recovery
- New York State Thruway Authority
- State University Construction Fund
- Vermont Energy Efficiency Utility Fund

County Level Authorities

- Franklin County Solid Waste Management Authority
- Greene County Industrial Development Authority
- Hamilton County Industrial Development Agency
- Mohawk Valley Water Authority
- Rockland County Solid Waste Management Authority
- Saratoga County Water Authority
- Schenectady Metroplex Development Authority



Qualifications/Experience

City Level Authorities

- Albany Parking Authority
- City of Albany - Municipal Water Finance Authority
- Cities of Gloversville-Johnstown Joint Wastewater Treatment Facility
- City of New York - Fiscal Year 2005 Securitization Corporation
- City of Troy - Municipal Assistance Corporation
- City of Troy Capital Resource Corporation
- City of Troy Industrial Development Agency
- City of Troy Local Development Corporation
- City of Newburgh, Industrial Development Authority

Town Level Authorities

- Town of Colonie Industrial Development Agency
- Town of Colonie Local Development Corporation
- Town of Islip Community Development Agency
- Town of Islip Foreign Trade Zone Authority
- Town of Islip Housing Development Fund
- Town of Islip Resource Recovery Agency
- Town of North Hempstead - Community Development Agency

Village Level Authorities

- Green Island Power Authority
- Village of Dobbs Ferry Local Development Corporation
- Village of Green Island Industrial Development Agency
- Village of Greenport Housing Authority
- Village of Sherburne Local Development Corporation



Qualifications/Experience

Your Engagement Team

A Meeting of Magnificent Minds

The BST team is comprised of some of the best minds in the profession. We actively seek those who not only possess the academic knowledge needed to perform their roles, but also the curiosity to look past the obvious, the tenacity to work hard, and the passion to serve clients. It is important that anyone who serves under the BST mantle puts your needs first and possesses our core values of integrity, excellence, commitment, and respect.

We pride ourselves on attracting, developing, and retaining quality professional staff and fully understand this is a two-way street. We expect every person at our firm to be fully committed to providing the highest level of service possible, and in turn, we are committed to giving them the support and skills they need to do an outstanding job. It is well documented that happy employees who enjoy what they do provide a higher level of service and go above and beyond for clients. We work hard every day to create a culture where people want to work and support our team members in a variety of ways, including with continuing education and myriad opportunities for personal and professional growth and development.

Committed to Consistent Service

We understand the importance and value of having a team on which you can depend. To ensure this stability, we always aim to keep the same team members (detailed below) on your engagements from start to finish. Should there be an unexpected need to make adjustments, we will discuss any necessary changes with you in advance.

We can ensure this consistency due to our low employee turnover rate. We are very proud of the fact that our team members choose to stay and grow with us throughout the years. Because of this, we can keep jobs staffed with the same people year in and year out, minimizing the need to train new staff and allowing us to better serve your needs.

We actively seek those who not only possess the academic knowledge needed to perform their roles, but also the curiosity to look past the obvious, the tenacity to work hard, and the passion to serve clients.



Qualifications/Experience

Your Engagement Team

A Team Handpicked to Exceed Your Needs

The following BST government team members are carefully chosen for your engagement due to their knowledge and skills. We encourage you to reach out to them with any questions you may have and get to know each of them as they are ready and happy to serve your needs. In addition to the key personnel below, we will assign one of BST's specialized governmental Senior Associates. Resumes of potential Senior Associates to be assigned to the County are included in the *Biographies* section of this proposal.

The proposed team is experienced with County operations. Each member of the proposed engagement team has served in a similar capacity on either the County or Shaker Place audit for a minimum of 5 years. Our team has a deep understanding of County operations and financial reporting processes.

Complete resumes of the proposed engagement team can be found in the Appendices of the Proposal.



Paul Goetz, CPA
County Engagement & Technical Partner

Paul will be responsible for all engagement partner and technical services partner matters. Paul has over 30 years of government accounting and auditing experience.

Key Clients: County of Albany, County of Fulton, New York State Thruway Authority, Mohawk Valley Water Authority, Rockland County Solid Waste Management Authority, Town of Milton, City of Oneonta, Town of Saratoga, Town of Queensbury, New York State Association of Counties



Brendan Kennedy, CPA
Shaker Place Technical Partner

Brendan will be responsible for all matters concerning accounting policy and practice, participate in the planning phases of our engagement, review working papers and reports prepared by the engagement team, and attend meetings with management or designated personnel. In addition, Brendan will oversee all the technical services provided, and ensure that they are delivered in a timely and efficient manner. Brendan has over 18 years of government accounting and auditing experience.

Key Clients: County of Albany (Shaker Place), City of Rensselaer, City of Saratoga Springs, City of Rye, Town of Colonie, Town of Bethlehem, Town of Duanesburg, Town of Ballston, Town of Halfmoon.



Qualifications/Experience

Your Engagement Team



Jon Gibbs, CPA
County Engagement Senior Manager

Jon will supervise the County engagement team, participate in the planning and fieldwork phases of the engagement, including the reports and be on site to solve problems and answer questions from management and the engagement team. Jon has over 10 years of government accounting and auditing experience.

Key Clients: County of Albany, County of Fulton, City of Oneonta, City of Rye, City of Saratoga Springs, City of Poughkeepsie, New York State Thruway Authority, Town of Milton, Town of Ramapo.



Ann DeLucco, CPA
County Engagement Senior Manager

Ann will supervise the Shaker Place engagement team, participate in the planning and fieldwork phases of the engagement, including the reports and be on site to solve problems and answer questions from management and the engagement team. Ann has over 10 years of government accounting and auditing experience.

Key Clients: County of Albany (Shaker Place) and Town of Colonie.

You can always rest assured that all work will be performed by qualified professionals in our government services group and reviewed by partners and managers listed above.



References

We are proud of the fact that we have developed longstanding relationships with hundreds of government organizations. We encourage you to reach out to any of the references below, and should you need more, just ask.

County of Fulton

223 West Main Street
Johnstown, NY 12095
E. Terry Blodgett, County Treasurer
Phone: (518) 736-5580
ebloodgett@fultoncountyny.gov

New York State Association of Counties

540 Broadway, 5th Floor
Albany, New York 12207
Stephen J. Acquario, President
Phone: (518) 465-1473
sacquario@nysac.org

Town of Colonie

534 New Loudon Road
Latham, New York
P. Christopher Kelsey, Acting Comptroller
Phone: (518) 783-2708
kelseyc@colonie.org



Plan Implementation

Scope of Work

1. Annual audit of the County's general purpose financial statements for all funds and account groups for the fiscal years ending December 2020, 2021 and 2022;
2. Federal Single Audit of the County's federal programs;
3. New York State Department of Transportation Single Audit for the County's New York State funded transportation assistance programs;
4. Annual Audit of the Consolidated Fiscal Report in conformance with the guidelines provided by the NYS Office for People with Developmental Disabilities, NYS Office of Mental Health, and NYS Office of Alcoholism and Substance Abuse;
5. Annual audit of the Consolidated Fiscal Report in conformance with the guidelines provided by the NYS Office of Mental Health;
6. Annual audit of the Times Union Center; and
7. Annual audit of the Albany County Nursing Home (Shaker Place).

Timeline

Upon our initial meetings with the County personnel, we will develop an audit timeline. Preliminarily, we believe this schedule will be comprised of the following delivery dates, however this can be modified to conform to your schedule as needed:

- March 2021: Meeting with Comptroller's management team to discuss scope and planning of the audits and establish reporting timeframes (both County and Shaker Place);
- March 2021: Planning Phase (Shaker Place) - perform risk assessment and document and understand internal controls;
- April 2021: Financial statement audit fieldwork (Shaker Place) - Drafts can be expected two weeks after the completion of fieldwork (but no later than May 5th);
- May 2021: Exit conference with Shaker Place management team to review conduct of the audit and required communications. Issuance of final financial statements.
- May 2021: Receipt of County Annual Update Document. Planning Phase (County Audit) - perform risk assessment and document and understand internal controls;
- June and July 2021: Financial statement audit fieldwork (County financial statements, Federal single audit, NYS single audit, TU Center and CFR). Risk assessments, internal control understandings, documentation request, single audit documentation, sample selections and testing, performance of substantive procedures, assistance with report drafting.
- August 2021: Issuance of draft auditor reports; Exit conference with Comptroller management team, review of required corrective actions (if necessary), resolution of open items, issuance of all required reports, certification of Federal Single audit.



Plan Implementation

Planning

Before we jump into your audit, we always do pre-planning work to make the process as smooth as we can. We will meet with your management team to establish the appropriate lines of communication, perform a risk analysis, and discuss any concerns or issues you may have and set expectations. The engagement team will create a preliminary timetable for each aspect of the engagement, so that the County knows what to expect and to ensure that the audit can be conducted in a timely and efficient manner.

After the preplanning is complete, we will develop the audit plan. This includes tailoring all audit programs and procedures specifically for the County, providing you with a list of schedules we will need, scheduling preliminary, interim and final fieldwork, and performing certain analytical procedures prior to the audit start date. This step ensures that risks are identified and addressed and that we can complete our work within the required timeframe.

Technology

To make this process easy and efficient for you, we use an electronic audit system equipped with a dashboard that allows us transfer documents and information. The dashboard serves as a tracking tool to monitor the status of the audit and allows BST and the County to monitor the progress of the audit in real time as documents are exchanged. Available 24 hours a day, seven days a week, the dashboard is completely secure and accessible from anywhere with the use of your own password.

Systems Review and Testing

We conduct a series of procedure inquiries and walk-throughs, so we clearly understand the information and technology controls you have in place. During this phase, we often identify areas where you can make improvements, which we will explain to you. We are experienced with third-party processors and will request a SOC report from your third-party service providers, if applicable.

Risk Analysis

One of the most important aspects of the audit process is the proper analysis and review of your risk environment. Our risk assessment process includes:

- Assessing inherent risks in the County's financial statements and account balances
- Evaluating and assessing the County's internal control structure and risks
- Assessing the effectiveness of analytical procedures for controlling and detecting risk
- Analyzing County business risks
- Reviewing information technology controls
- Communicating our assessment and audit plans to the County Comptroller



Plan Implementation

Understanding Internal Controls

A solid understanding of the County's internal control systems, along with testing the significant control areas, allows us to reduce substantive testing procedures focus on risk areas, and gain efficiencies as we audit. We also use this knowledge to share opportunities where you can strengthen controls and streamline processes in our management letter. Our assessment will be concentrated in the following areas:

- Discussions with the appropriate personnel at the County about the design and application of a relevant internal control policy or procedure, including:
 - transaction classes to which the policy or procedure applies
 - how it is applied, and by whom
 - the disposition of exceptions detected by the policy or procedure
- Inspecting the documents and that describe how the policies and procedures are designed and applied by your personnel including:
 - how the policy or procedure is applied and by whom
 - the transaction classes to which it applies
 - the disposition of exceptions detected by the policy or procedure
- Observing the performance of the relevant policy or procedure by entity personnel including:
 - how the policy or procedure is applied and by whom
 - the transaction classes to which it applies
 - the disposition of exceptions detected by the policy or procedure.
- Review and testing the auditor's policies or procedures and comparing the results with the results obtained by your personnel

Audit Sampling Approach

We often sample select items for testing and conduct substantive tests only where it is necessary or cost efficient to sample the entire population. We refer to our Audit Methodology Manual which contains guidelines around sampling risk control and sample selection and evaluation.

Audit sampling is used to perform substantive tests as part of the financial statement audit and transaction cycle control testing. For financial statement audits, we anticipate that our sampling methodology will be used to audit receivables, payables, revenues, and expenses and expenditures under Federal and State awards.



Plan Implementation

Fieldwork

Fieldwork is the largest part of the audit process and consists of substantive audit tests, such as confirmation work, analytical reviews, and variation analysis. At the conclusion of both the preliminary and final fieldwork, we discuss the results and all tentative recommendations with your team.

Reviews

To assure our final audit is of the highest quality, we review files and reports several times while at your location. Each review focuses on specific areas of the audit, which intentionally overlap, so each part of the audit is reviewed at least twice.

Resolving Accounting Issues

Most accounting issues arise from a misunderstanding of the facts, circumstances, and complexities unique to an organization and its industry. Because we communicate frequently with you throughout the year, we expect few, if any, accounting-related issues to arise during the audit. Because of our business advisory auditing approach, we are well-equipped to understand the issues surrounding management's accounting and reporting position and can better help you should we uncover any potential issues.

Additionally, rather than analyzing transactions after the fact, we assist your management and finance department as accounting issues arise throughout the year.

Audit Conclusion

At the conclusion of the audit process, if applicable, we issue a management letter discussing internal control recommendations and any weaknesses discovered during the audit. The letter also includes observations about accounting methods and procedures, business and industry practices or issues, operational ideas, and suggestions to further enhance the County's operations. We will also advise you of any new accounting pronouncements that have been, or may be, issued along with their potential impact on the County.

Communication with Those Charged with Governance

In accordance with U.S. generally accepted auditing standards (GAAS), we communicate issues to keep those charged with governance adequately informed about audit matters prior to starting fieldwork as well as in our audit report. Of course, even if this wasn't mandated, we would still provide these communications to you before, during, and after the audit. It is important for us as auditors to develop trusting relationships with those charged with governance.

Should situations or issues arise that need to be discussed with the Comptroller, we will reach out right away. We do not like surprises, nor do we like to create them, so we insist on open and frank lines of communication.



Plan Implementation

Issuing Reports

We will meet with the Comptroller finance team once our reviews and audits are completed to discuss the results of our work and present our reports and letters.

We provide a memorandum on business matters, which includes our recommendations for improving your operations, as well as information regarding any new accounting pronouncements, tax issues, and other issues that impact your organization. Our discussion will include how the issues we uncovered can impact your organization and how to implement the changes we recommend. Additionally, we are available to meet with you during the year to answer any questions that may arise.

Accounting Staff Expectations

Your accounting department personnel will need to assist us in completing our audit and provide us with detailed trial balances, supporting schedules, and other necessary information. We will furnish you with a list of these schedules and other items before we begin our audit so that you are prepared.

Any assistance by the County's personnel, including schedule preparation and account analyses, is discussed, and coordinated as soon as we are brought on as your auditors. Completing work accurately and on time is essential to the proper audit completion and through report issuance.

Client Satisfaction

It's important to us that we foster an open, honest relationship with our clients on all matters, including our fees. We always quote requested services in advance rather than surprising you with a bill for extras.

We encourage you to call us as needed, and therefore you are not "on the meter" with every call.

While it is critical that the AICPA attest to the quality of our work, it is equally important that you find value in it as well. To ensure your satisfaction, we maintain contact throughout the year, stay current with your operations and follow up at the end of the engagement to solicit feedback.



Cost Proposal

Our Goal is to Provide Service Far Beyond Our Fees

No one likes to talk about fees, but we are proud of the level of service we provide for ours. Our approach to pricing is to never surprise you and to always be transparent about what you will be charged and what you are getting in return for those fees.

We have built our firm on the guiding principle of customer intimacy. This means that we want to be fully invested and deeply involved with our clients, truly understanding their goals and motivators. The resulting deliverables of this level of relationship goes far beyond the defined scope of our work to ensuring you have all the facts you need to make informed, confident decisions about your organization.

We are incredibly detailed and careful when providing an estimate for the work we will provide, and therefore, our fees will not increase from those quoted unless there are significant changes in the scope of the services we are asked to provide. If we uncover something that is outside of scope, we will discuss it with you in detail, so you understand why it is necessary as well as provide an estimate of what these services will cost before beginning any work. It is simply a matter of professional respect and part of our honest and comprehensive client service approach. Our estimate is based on the time necessary for the professionals on your team to conduct the work you need. Individual hourly rates can vary according to the degree of responsibility involved and the skill required and are as follows:

Staff	2020 Hourly Rates
Partner	\$210-435
Senior Manager	\$185-260
Manager	\$170-200
Senior Associate (In-Charge)	\$120-160
Associate	\$110-140
Paraprofessional	\$55-180
Internal Client Servers	\$110



Cost Proposal

Our Goal is to Provide Service Far Beyond Our Fees

Our fee estimates and completion of our work are based upon the following criteria:

- Anticipated cooperation from County personnel;
- Timely responses to our inquiries;
- Timely completion and delivery of client assistance requests;
- Timely communication of all significant accounting and financial reporting matters; and
- The assumption that unexpected circumstances will not be encountered during the engagement.

This proposal assumes we will work closely with your personnel, including on schedule preparation and account analysis. The timely and accurate completion of this work is an essential condition to our audit completion and report issuance.

Firm Not-to-Exceed Fees Proposed for Services Provided – Contract Period

Service Description	2020	2021	2022
Audited General Purpose Financial Statements (including Federal and NYS single audits)	\$91,000	\$92,500	\$94,000
Audited Consolidated Fiscal Report (NYSOPWDD, NYSOMH & NYSOASA)	\$3,000	\$3,000	\$3,000
Audited Consolidated Fiscal Report (NYSOMH)	\$3,000	\$3,000	\$3,000
Audited Financial Statements of the Times Union Center	\$15,000	\$15,000	\$15,000
Audited Financial Statements of Albany County Nursing Home (Shaker Place)	\$27,000	\$27,500	\$28,000
Total Cost	\$139,000	\$141,000	\$143,000
On-Call Accounting & Reporting Assistance	- Hourly Rates -		



Cost Proposal

Our Goal is to Provide Service Far Beyond Our Fees

Firm Not-to-Exceed Fees Proposed for Services Provided – Optional Years

Service Description	2023	2024
Audited General Purpose Financial Statements (including Federal and NYS single audits)	\$95,000	\$96,000
Audited Consolidated Fiscal Report (NYSOPWDD, NYSOMH & NYSOASA)	\$3,000	\$3,000
Audited Consolidated Fiscal Report (NYSOMH)	\$3,000	\$3,000
Audited Financial Statements of the Times Union Center	\$15,000	\$15,000
Audited Financial Statements of Albany County Nursing Home (Shaker Place)	\$28,000	\$29,000
Total Cost	\$144,000	\$146,000

Estimated Hours

We estimate a total of 650-800 hours will be required to complete the proposed scope of services.

Our Expectations for Invoicing and Payments

Our fees and expenses will be billed on a regular basis, and each invoice is payable upon receipt.



Mandatory Documentation

COUNTY OF ALBANY

PROPOSAL FORM

PROPOSAL IDENTIFICATION:

Title: Technical and Professional Services to provide Auditing Services for Albany County's
Financial Statements, for the Fiscal Years 2020, 2021, and 2022
RFP Number: 2020-106

THIS PROPOSAL IS SUBMITTED TO:

Karen A. Storm, Purchasing Agent
Albany County Department of General Services
Purchasing Division
112 State Street, Room 1000
Albany, NY 12207

1. The undersigned Proposer proposes and agrees, if this Proposal is accepted, to enter into a Contract with the owner in the form included in the Contract Documents to complete all Work as specified or indicated in the Contract Documents for the Contract Price and within the Contract Time indicated in this Proposal and in accordance with the Contract Documents.
2. Proposer accepts all of the terms and conditions of the Instructions to Proposers, including without limitation those dealing with the Disposition of Proposal Security. This Proposal may remain open for ninety (90) days after the day of Proposal opening. Proposer will sign the Contract and submit the Contract Security and other documents required by the Contract Documents within fifteen days after the date of County's Notice of Award.
3. In submitting this Proposal, Proposer represents, as more fully set forth in this Contract, that:

- (a) Proposer has examined copies of all the Contract Documents and of the following addenda: (If none, so state)

Date

Number

(receipt of all of which is hereby acknowledges) and also copies of the Notice to Proposers and the Instructions to Proposers;

- (b) Proposer has examined the site and locality where the Work is to be performed, the legal requirements (federal, state and local laws, ordinances, rules and regulations) and the conditions affecting cost, progress or performance of the Work and has made such independent investigations as Proposer deems necessary;

(c) This Proposal is genuine and not made in the interest of or on behalf of any undisclosed person, firm or corporation and is not submitted in conformity with any agreement or rules of any group, association, organization or corporation; Proposer has not directly or indirectly induced or solicited any other Proposer to submit a false or sham Proposal; PROPOSER has not solicited or induced any person, firm or a corporation to refrain from Proposing; and Proposer has not sought by collusion to obtain for himself any advantage over any other Proposer or over the owner.

4. Proposer will complete the Work for the following prices(s): (Attach Proposal)
5. Proposer agrees to commence the Work within the number of calendar days or by the specific date indicated in the Contract. Proposer agrees that the Work will be completed within the number of Calendar days or by the specific date indicated in the contract.
6. The following documents are attached to and made a condition of this Proposal:
 - (a) Non-Collusive Bidding Certificate (Attachment "A")
 - (b) Acknowledgment by Bidder (Attachment "B")
 - (c) Vendor Responsibility Questionnaire (Attachment "C")
 - (d) Iranian Energy Divestment Certification (Attachment "D")

7. Communication concerning this Proposal shall be addressed to:

Paul L. Goetz, Partner

BST & Co. CPAs, LLP

26 Computer Drive West, Albany, New York 12205

Phone: 518-459-6700

8. Terms used in this Proposal have the meanings assigned to them in the Contract and General Provisions.

COUNTY OF ALBANY

COST PROPOSAL FORM

PROPOSAL IDENTIFICATION:

Title: Technical and Professional Services to provide Auditing Services for Albany County's
Financial Statements, for the Fiscal Years 2020, 2021, and 2022
RFP Number: 2020-106

COMPANY: BST & Co. CPAs, LLP

ADDRESS: 26 Computer Drive West

CITY, STATE, ZIP: Albany, New York 12205

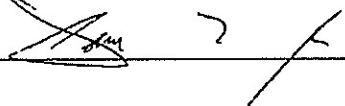
TEL. NO.: 518-459-6700

FAX NO.: 518-459-8492

FEDERAL TAX ID NO.: 14-1442607

REPRESENTATIVE: Paul L. Goetz

E-MAIL: pgoetz@bstco.com

SIGNATURE AND TITLE 

DATE 9/24/2020

ATTACHMENT "A"
NON-COLLUSIVE BIDDING CERTIFICATE PURSUANT TO
SECTION 103-D OF THE NEW YORK STATE GENERAL MUNICIPAL LAW

A. By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid, each party thereto certifies as to its own organizations, under penalty of perjury, that to the best of knowledge and belief:

(1) The prices in this bid have been arrived at independently without collusion, consultation, communication, or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other bidder or with any competitor.

(2) Unless otherwise required by law, the prices which have been quoted in this bid have not knowingly been disclosed by the bidder and will not knowingly be disclosed by the bidder, directly or indirectly, prior to opening, to any bidder or to any competitor.

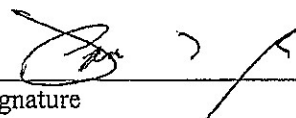
(3) No attempt has been made or will be made by the bidder to induce any other person, partnership or corporation to submit or not to submit a bid for the purpose of restricting competition.

A bid shall not be considered for award nor shall any award be made where (1), (2), and (3) above have not been complied with; provided, however, that in any case the bidder cannot make the foregoing certification, the bidder shall so state and shall furnish with the bid a signed statement which sets forth in detail the reasons thereof. Where (1), (2), and (3) above have not been complied with, the bid shall not be considered for any award nor shall any award be made unless the head of the Purchasing Unit to the political subdivision, public department, agency or official thereof to which the bid is made, or his designee, determines that such disclosure was not made for the purpose of restricting competition.

The fact that a bidder (a) has published price lists, rates, or tariffs covering items being procured; (b) has informed prospective customer of proposed or pending publication of new or revised price lists for such items, or (c) has sold the same items to other customers at the same prices being bid, does not constitute, without more, a disclosure within the meaning of paragraph "A" above.

B. Any bid hereafter made to any political subdivision of the state or any public department, agency or official thereof by a corporate bidder for work or services performed or to be performed or goods sold or to be sold, where competitive bidding is required by statute, rule, regulation, local law, and where such bid contains the certification referred to in paragraph "A" of this section, shall be deemed to have been authorized by the Board of Directors of the bidder, and such authorization shall be deemed to include the submission of the bid and the inclusion therein of the certificate as to non-collusion as the act and deed of the corporation

9/24/2020
Date



Signature

Partner

Title

BST & Co. CPAs, LLP

Company Name

ATTACHMENT "B"
ACKNOWLEDGMENT BY PROPOSER

If Individual or Individuals:

STATE OF _____)
COUNTY OF _____) SS.:

On this _____ day of _____, 20____, before me personally appeared _____ to me known and known to me to be the same person(s) described in and who executed the within instrument, and he (or they severally) acknowledged to me that he (or they) executed the same.

Notary Public, State of _____

Qualified in _____

Commission Expires _____

If Corporation:

STATE OF _____)
COUNTY OF _____) SS.:

On this _____ day of _____, 20____, before me personally appeared _____ to me known, who, being by me sworn, did say that he resides at (give address) _____; that he is the (give title) _____ of the (name of corporation) _____, the corporation described in and which executed the above instrument; that he knows the seal of the corporation, and that the seal affixed to the instrument is such corporate seal; that it was so affixed by order of the board of directors of the corporation, and that he signed his name thereto by like order.

Notary Public, State of _____

Qualified in _____

Commission Expires _____

If Partnership:

STATE OF New York)
COUNTY OF Albany) SS.:

On the 24th day of September, 2020 before me personally came Paul L. Goetz, to me known to be the individual who executed the foregoing, and who, being duly sworn, did depose and say that he / she is a partner of the firm of BST Co. CFAA, LLP and that he / she has the authority to sign the same, and acknowledged that he / she executed the same as the act and deed of said partnership.

Lindsey Bolton
Notary Public, State of NY

Qualified in Schenectady County

Commission Expires 11/7/23

LINDSEY DENISE BOLTON
Notary Public, State of New York
No. 01BO6251059
Qualified in Schenectady County
Commission Expires Nov. 7, 2023

ATTACHMENT "C"
ALBANY COUNTY
VENDOR RESPONSIBILITY QUESTIONNAIRE

1. VENDOR IS: ☐ PRIME CONTRACTOR			
2. VENDOR'S LEGAL BUSINESS NAME BST & Co. CPAs, LLP		3. IDENTIFICATION NUMBERS a) FEIN # 14-1442607 b) DUNS #	
4. D/B/A – Doing Business As (if applicable) & COUNTY FIELD:		5. WEBSITE ADDRESS (if applicable) www.bstco.com	
6. ADDRESS OF PRIMARY PLACE OF BUSINESS/EXECUTIVE OFFICE 26 Computer Drive West, Albany, New York 12205		7. TELEPHONE NUMBER 518-459-6700	8. FAX NUMBER 518-459-8492
9. ADDRESS OF PRIMARY PLACE OF BUSINESS/EXECUTIVE OFFICE <i>IN NEW YORK STATE, if different from above</i>		10. TELEPHONE NUMBER	11. FAX NUMBER
12. AUTHORIZED CONTACT FOR THIS QUESTIONNAIRE Name Paul L. Goetz Title Partner Telephone Number 518-459-6700 Fax Number 518-459-8492 e-mail pgoetz@bstco.com			
13. LIST ALL OF THE VENDOR'S PRINCIPAL OWNERS.			
a) NAME Ronald L. Guzik	TITLE Managing Partner	b) NAME Paul L. Goetz	TITLE Equity Partner
c) NAME William C. Freitag	TITLE Equity Partner	d) NAME	TITLE
A DETAILED EXPLANATION IS REQUIRED FOR EACH QUESTION ANSWERED WITH A "YES," AND MUST BE PROVIDED AS AN ATTACHMENT TO THE COMPLETED QUESTIONNAIRE. YOU MUST PROVIDE ADEQUATE DETAILS OR DOCUMENTS TO AID THE COUNTY IN MAKING A DETERMINATION OF VENDOR RESPONSIBILITY. PLEASE NUMBER EACH RESPONSE TO MATCH THE QUESTION NUMBER.			
14. DOES THE VENDOR USE, OR HAS IT USED IN THE PAST FIVE (5) YEARS, ANY OTHER BUSINESS NAME, FEIN, or D/B/A OTHER THAN THOSE LISTED IN ITEMS 2-4 ABOVE? List all other business name(s), Federal Employer Identification Number(s) or any D/B/A names and the dates that these names or numbers were/are in use. Explain the relationship to the vendor. See *14.1 below ☒ Yes ☐ No			
15. ARE THERE ANY INDIVIDUALS NOW SERVING IN A MANAGERIAL OR CONSULTING CAPACITY TO THE VENDOR, INCLUDING PRINCIPAL OWNERS AND OFFICERS, WHO NOW SERVE OR IN THE PAST ONE (1) YEARS HAVE SERVED AS: a) An elected or appointed public official or officer? <i>List each individual's name, business title, the name of the organization and position elected or appointed to, and dates of service</i> ☐ Yes ☒ No b) An officer of any political party organization in Albany County, whether paid or unpaid? <i>List each individual's name, business title or consulting capacity and the official political position held with applicable service dates.</i> ☐ Yes ☒ No			

*14.1 - Effective 8/15/16, SAXBST LLP (FEIN# 46-4001827) began operating under the name BST & Co. CPAs, LLP.

16.	WITHIN THE PAST (5) YEARS, HAS THE VENDOR, ANY INDIVIDUALS SERVING IN MANAGERIAL OR CONSULTING CAPACITY, PRINCIPAL OWNERS, OFFICERS, MAJOR STOCKHOLDER(S) (10% OR MORE OF THE VOTING SHARES FOR PUBLICLY TRADED COMPANIES, 25% OR MORE OF THE SHARES FOR ALL OTHER COMPANIES), AFFILIATE OR ANY PERSON INVOLVED IN THE BIDDING OR CONTRACTING PROCESS: a) 1. been suspended, debarred or terminated by a local, state or federal authority in connection with a contract or contracting process; ☐ Yes ☒ No 2. been disqualified for cause as a bidder on any permit, license, concession franchise or lease; 3. entered into an agreement to a voluntary exclusion from bidding/contracting; 4. had a bid rejected on an Albany County contract for failure to comply with the MacBride Fair Employment Principles; 5. had a low bid rejected on a local, state or federal contract for failure to meet statutory affirmative action or M/WBE requirements on a previously held contract; 6. had status as a Women's Business Enterprise, Minority Business Enterprise or Disadvantaged Business Enterprise, de-certified, revoked or forfeited; 7. been subject to an administrative proceeding or civil action seeking specific performance or restitution in connection with any local, state or federal government contract; 8. been denied an award of a local, state or federal government contract, had a contract suspended or had a contract terminated for non-responsibility; or 9. had a local, state or federal government contract suspended or terminated for cause prior to the completion of the term of the contract. b) been indicted, convicted, received a judgment against them or a grant of immunity for any business-related conduct constituting a crime under local, state or federal law including but not limited to, fraud extortion, bribery, racketeering, price-fixing, bid collusion or any crime related to truthfulness and/or business conduct? ☐ Yes ☒ No c) been issued a citation, notice, violation order, or are pending an administrative hearing or proceeding or determination of violations of: ☐ Yes ☒ No 1. federal, state or local health laws, rules or regulations.
17.	IN THE PAST THREE (3) YEARS, HAS THE VENDOR OR ITS AFFILIATES HAD ANY CLAIMS, JUDGMENTS, INJUNCTIONS, LIENS, FINES OR PENALTIES SECURED BY ANY GOVERNMENTAL AGENCY? ☐ Yes ☒ No Indicate if this is applicable to the submitting vendor or affiliate. State whether the situation(s) was a claim, judgment, injunction, lien or other with an explanation. Provide the name(s) and address(es) of the agency, the amount of the original obligation and outstanding balance. If any of these items are open, unsatisfied, indicate the status of each item as "open" or "unsatisfied."
18.	DURING THE PAST THREE (3) YEARS, HAS THE VENDOR FAILED TO: a) file returns or pay any applicable federal, state or city taxes? ☐ Yes ☒ No <i>Identify the taxing jurisdiction, type of tax, liability year(s), and tax liability amount the vendor failed to file/pay and the current status of the liability.</i> b) file returns or pay New York State unemployment insurance? ☐ Yes ☒ No <i>Indicate the years the vendor failed to file/pay the insurance and the current status of the liability.</i> c) Property Tax ☐ Yes ☒ No <i>Indicate the years the vendor failed to file.</i>
19.	HAVE ANY BANKRUPTCY PROCEEDINGS BEEN INITIATED BY OR AGAINST THE VENDOR OR ITS AFFILIATES WITHIN THE PAST SEVEN (7) YEARS (WHETHER OR NOT CLOSED) OR IS ANY BANKRUPTCY PROCEEDING PENDING BY OR AGAINST THE VENDOR OR ITS AFFILIATES REGARDLESS OF THE DATE OF FILING? ☐ Yes ☒ No Indicate if this is applicable to the submitting vendor or affiliate. If it is an affiliate, include the affiliate's name and FEIN. Provide the court name, address and docket number. Indicate if the proceedings have been initiated, remain pending or have been closed. If closed, provide the date closed.
20.	IS THE VENDOR CURRENTLY INSOLVENT, OR DOES VENDOR CURRENTLY HAVE REASON TO BELIEVE THAT AN INVOLUNTARY BANKRUPTCY PROCEEDING MAY BE BROUGHT AGAINST IT? Provide financial information to support the vendor's current position, for example, Current Ratio, Debt Ratio, Age of Accounts Payable, Cash Flow and any documents that will provide the agency with an understanding of the vendor's situation. ☐ Yes ☒ No

21. IN THE PAST FIVE (5) YEARS, HAS THE VENDOR OR ANY AFFILIATES: ☐ Yes ☒ No

a) defaulted or been terminated on, or had its surety called upon to complete, any contract (public or private) awarded;

Indicate if this is applicable to the submitting vendor or affiliate. Detail the situation(s) that gave rise to the negative action, any corrective action taken by the vendor and the name of the contracting agency.

1 "Affiliate" meaning: (a) any entity in which the vendor owns more than 50% of the voting stock; (b) any individual, entity or group of principal owners or officers who own more than 50% of the voting stock of the vendor; or (c) any entity whose voting stock is more than 50% owned by the same individual, entity or group described in clause (b). In addition, if a vendor owns less than 50% of the voting stock of another entity, but directs or has the right to direct such entity's daily operations, that entity will be an "affiliate" for purposes of this questionnaire.

ALBANY COUNTY
VENDOR RESPONSIBILITY QUESTIONNAIRE

FEIN # 14-1442607

State of: New York)
) ss:
County of: Albany)

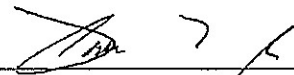
CERTIFICATION:

The undersigned recognizes that this questionnaire is submitted for the express purpose of assisting the County of Albany in making a determination regarding an award of contract or approval of a subcontract; acknowledges that the County may in its discretion, by means which it may choose, verify the truth and accuracy of all statements made herein; acknowledges that intentional submission of false or misleading information may constitute a felony under Penal Law Section 210.40 or a misdemeanor under Penal Law Section 210.35 or Section 210.45, and may also be punishable by a fine and/or imprisonment of up to five years under 18 USC Section 1001 and may result in contract termination; and states that the information submitted in this questionnaire and any attached pages is true, accurate and complete.

The undersigned certifies that he/she:

- Has not altered the content of the questions in the questionnaire in any manner;
- Has read and understands all of the items contained in the questionnaire and any pages attached by the submitting vendor;
- Has supplied full and complete responses to each item therein to the best of his/her knowledge, information and belief;
- Is knowledgeable about the submitting vendor's business and operations;
- Understands that Albany County will rely on the information supplied in the questionnaire when entering into a contract with the vendor;
- Is under duty to notify the Albany County Purchasing Division of any material changes to the vendor's responses.

Name of Business BST & Co. CPAs, LLP

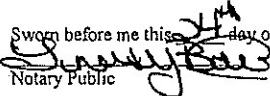
Signature of Owner 

Address 26 Computer Drive West

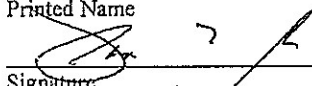
Printed Name of Signatory Paul L. Goetz

City, State, Zip Albany, New York 12205

Title Equity Partner

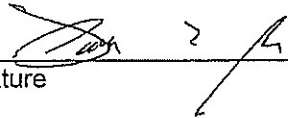
Sworn before me this 24th day of September 2020

Notary Public

LINDSEY DENISE BOLTON
Notary Public, State of New York
No. 01806251059
Qualified in Schenectady County
Commission Expires Nov. 7, 2023

Paul L. Goetz
Printed Name

Signature
9/24/2020
Date

Attachment "D"
Certification Pursuant to Section 103-g
Of the New York State
General Municipal Law

- A. By submission of this bid/proposal, each bidder/proposer and each person signing on behalf of any bidder/proposer certifies, and in the case of a joint bid, each party thereto certifies as to its own organization, under penalty of perjury, that to the best of its knowledge and belief that each bidder is not on the list created pursuant to paragraph (b) of subdivision 3 of Section 165-a of the New York State Finance Law.
- B. A Bid/Proposal shall not be considered for award, nor shall any award be made where the condition set forth in Paragraph A above has not been complied with; provided, however, that in any case the bidder/proposer cannot make the foregoing certification set forth in Paragraph A above, the bidder/proposer shall so state and shall furnish with the bid a signed statement which sets forth in detail the reasons therefor. Where Paragraph A above cannot be complied with, the Purchasing Unit to the political subdivision, public department, agency or official thereof to which the bid/proposal is made, or his designee, may award a bid/proposal, on a case by case business under the following circumstances:
1. The investment activities in Iran were made before April 12, 2012, the investment activities in Iran have not been expanded or renewed after April 12, 2012, and the Bidder/Proposer has adopted, publicized and is implementing a formal plan to cease the investment activities in Iran and to refrain from engaging in any new investments in Iran; or
 2. The political subdivision makes a determination that the goods or services are necessary for the political subdivision to perform its functions and that, absent such an exemption, the political subdivision would be unable to obtain the goods or services for which the contract is offered. Such determination shall be made in writing and shall be a public document.



Signature

Partner

Title

BST & Co. CPAs, LLP

Company Name

9/24/2020
Date



Appendices

*The Remaining Information You Need
to Decide to Partner with BST*



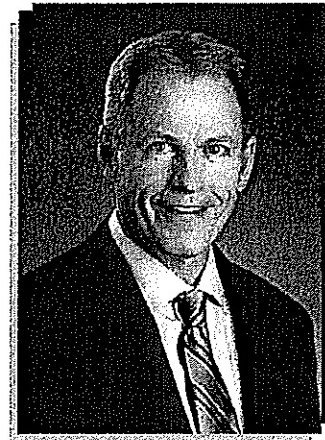
Biographies

Your Team of Experts

Paul L. Goetz, CPA

Partner

For over 30 years, and nine with BST, Paul L. Goetz has partnered with his clients to deliver accounting and audit services. As a member of BST's Governmental Services Group, he has a particular focus in governmental accounting and audit needs and expertise in complex governmental accounting standards and audit requirements. Additionally, he serves as a peer reviewer for the American Institute of Certified Public Accountants.



Born in Rome, Paul now resides in Clifton Park with his wife, daughter, and son. He loves to travel to different courses to play golf and is quite passionate about the New York Yankees and the New York Giants.

"The best part of my profession is getting to work with a multitude of clients. I get to learn about their businesses and goals and then show them how they can achieve them. It's quite rewarding."

EDUCATION

- Siena College — Bachelor of Business Administration, Accounting

MEMBERSHIPS & VOLUNTEERISM

- New York State Society of Certified Public Accountants Member
- American Institute of Certified Public Accountants Member
- Edison Club Treasurer

GET TO KNOW PAUL

- Paul's hidden talents are landscaping and cooking
- His celebrity doppelganger is Dennis Leary
- His daughter got him hooked on the reality show, *Big Brother*
- *Fairly Odd Parents* is his favorite cartoon.
- If you want to get on his good side, he loves strawberry ice cream covered in chocolate sprinkles.



Biographies

Your Team of Experts

Brendan K. Kennedy

Partner

For close to two decades Brendan K. Kennedy has been providing government clients with the accounting and auditing services they need to be more effective, efficient, and remain in compliance.

In addition to assisting his clients with their immediate audit and accounting needs, Brendan is also a frequent speaker with the New York State Government Finance Officers Associates and the New York Conference of Mayors, where he shares his expertise on governmental accounting.



Brendan calls Glenmont home with his wife and two children. Outside of the office, he loves being outdoors and takes every opportunity he can to golf and go camping, where he can kayak, fish, hike and enjoy a good campfire.

"Being an accountant is so rewarding because I am always learning new things that I can use to help my clients. By consistently adding to my existing expertise, I'm able to provide greater service to others."

EDUCATION

- Siena College – Bachelor of Business Administration, Accounting

MEMBERSHIPS & VOLUNTEERISM

- American Institute of Certified Public Accountants Member
- New York Government Finance Officers Association – Board Member and Chairman of the Audit Committee
- New York State Society of Certified Public Accountants Member
- New York Conference of Mayors Member
- Colonie Golf and Country Club Member

GET TO KNOW BRENDAN

- In high school, he was a semi-finalist in a state-wide essay contest titled, "A Life Worth Knowing," where he wrote about Joseph Heller.
- He recently purchased a travel trailer and has been enjoying camping trips around the state of New York.
- If a movie were made about his life, he'd love for Chris Hemsworth (yes, Thor) to star in it. I mean, who wouldn't!



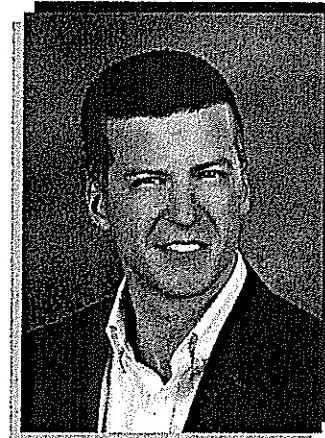
Biographies

Your Team of Experts

Jonathan Gibbs, CPA

Senior Manager

As a Senior Manager with BST's Accounting and Auditing team where he spends most of his time working with those in government and for-profit businesses. He began his career with BST and now with a decade of experience, Jonathan looks beyond the numbers to create meaningful and well-organized financial information from which his clients can make astute and informed strategic decisions for their businesses and organizations.



Jonathan's interest in accounting was sparked in college and has grown into a rewarding career. He is a born and bred son of Saratoga Springs, where he still resides. Outside of the office, he enjoys having a good workout and a great dinner.

"What I love most about what I do is learning about the operations of a variety of industries. I'm then able to take this knowledge and use it to help other clients, which is incredibly rewarding."

EDUCATION

- Bachelor of Business Administration, Accounting, State University of New York College at Oneonta

MEMBERSHIPS & VOLUNTEERISM

- Government Finance Officers Association Member

GET TO KNOW JONATHAN

- His favorite superhero is Batman.
- He loves books by Malcolm Gladwell, Michael Lewis and Ernest Hemingway.
- When he was five, he wanted to be an airline pilot.
- He hates heights.
- His nickname as a child was Glades.



Biographies

Your Team of Experts

Ann DeLucco, CPA

Senior Manager

For close to a decade, Ann DeLucco has been serving the clients of BST. She specializes in audit and financial services, and her primary focus is the not-for-profit sector, as well as government entities. She relishes in the opportunity to face – and overcome – challenges on behalf of her clients and provide them with the best services and advice on a daily basis.

Originally from Delmar, NY, Ann now calls Colonie home with her husband and dog. In her free time, she loves to follow sports, particularly her favorite teams – the New York Yankees and the Green Bay Packers.



"There are so many things I love about what I do. I love that accounting always works. I love that debits always equal credits. I love creating lasting relationships with my clients."

EDUCATION

- Bachelor of Science in Accounting – Fordham University
- Master of Business Administration – Fordham University

MEMBERSHIPS & VOLUNTEERISM

- American Institute of Certified Public Accountants Member

GET TO KNOW ANN

- She knows how to knit.
- Ann met Alex Rodriguez at a drug store when he was buying Chapstick.
- She is a member of a book club.
- She loves any kind of dessert that includes chocolate.
- While she would never go bungee jumping, she has considered sky diving.



Biographies

Your Team of Experts

Jeremy A. DeBarr, CPA *Senior Associate*

Jeremy joined BST & Co. CPAs, LLP in 2015. He graduated from the State University of New York at Albany with a Bachelor's Degree in Accounting. Jeremy works on a wide range of governmental engagements.



Michael R. Evans *Senior Associate*

Mike joined BST & Co. CPAs, LLP in 2017. He graduated from the College of Saint Rose with Bachelor's and Master's Degrees in Accounting. Mike works on a variety of governmental and not-for-profit engagements.



Margaret Fleming *Senior Associate*

Maggie joined BST & Co. CPAs, LLP in 2018. She graduated from the State University of New York at Plattsburg with a Bachelor's Degree in Accounting and Business Administration. Maggie works on a wide range of engagements, including government and not-for-profit industries.



Lorin A. Marra, CPA *Senior Associate*

Lorin joined BST & Co. CPAs, LLP in 2017. She graduated from Siena College with Bachelor's and Master's Degrees in Accounting. Lorin has experience with a variety of engagements, including government and commercial entities.





Peer Review



Certified Public Accountants

3325 Saw Mill Run Blvd.
Pittsburgh, PA 15227-2736
412/885-5045
Fax 412/885-4870
www.gbac.com

Report on the Firm's System of Quality Control

February 23, 2018

To the Partners of BST & Co. CPAs, LLP and
the National Peer Review Committee of the American Institute of Certified Public Accountants

We have reviewed the system of quality control for the accounting and auditing practice of BST & Co. CPAs, LLP (the firm) in effect for the year ended August 31, 2017. Our peer review was conducted in accordance with the Standards for Performing and Reporting on Peer Reviews established by the Peer Review Board of the American Institute of Certified Public Accountants (Standards).

A summary of the nature, objectives, scope, limitations of, and the procedures performed in a System Review as described in the Standards may be found at www.aicpa.org/prsummary. The summary also includes an explanation of how engagements identified as not performed or reported in conformity with applicable professional standards, if any, are evaluated by a peer reviewer to determine a peer review rating.

Firm's Responsibility

The firm is responsible for designing a system of quality control and complying with it to provide the firm with reasonable assurance of performing and reporting in conformity with applicable professional standards in all material respects. The firm is also responsible for evaluating actions to promptly remediate engagements deemed as not performed or reported in conformity with professional standards, when appropriate, and for remediating weaknesses in its system of quality control, if any.

Peer Reviewer's Responsibility

Our responsibility is to express an opinion on the design of the system of quality control and the firm's compliance therewith based on our review.

Required Selections and Considerations

Engagements selected for review included engagements performed under Government Auditing Standards, including compliance audits under the Single Audit Act, and audits of employee benefit plans.

As a part of our peer review, we considered reviews by regulatory entities as communicated by the firm, if applicable, in determining the nature and extent of our procedures.

Member: American and Pennsylvania Institute of Certified Public Accountants
Center for Public Company Audit Firm • Employee Benefit Plan Audit Quality Center • Governmental Audit Quality Center • Private Companies Practices Section



Peer Review

Opinion

In our opinion, the system of quality control for the accounting and auditing practice of BST & Co. CPAs, LLP in effect for the year ended August 31, 2017, has been suitably designed and complied with to provide the firm with reasonable assurance of performing and reporting in conformity with applicable professional standards in all material respects. Firms can receive a rating of pass, pass with deficiency(ies), or fail. BST & Co. CPAs, LLP has received a peer review rating of pass.

Goff Backa Alfera & Company, LLC

GOFF BACKA ALFERA & COMPANY, LLC
PITTSBURGH, PENNSYLVANIA



Affirmations

We provide the following affirmations:

1. BST is registered and licensed to practice in the State of New York as Certified Public Accountants and does not have a record of substandard audit work.
2. All participants in the County's engagement meet the required continuing professional education requirements of auditing standards generally accepted in the United States of America as defined by the American Institute of Certified Public Accountants.
3. A copy of our most recent Peer Review Letter is attached to this proposal.
4. All client lists and references listed in this proposal are confidential and considered a trade secret of BST. They may not be discussed or shared with any outside parties.



Independence

BST affirms that no officer or employee of the Firm is directly or indirectly a party to, or in any other manner interested financially or otherwise, in this RFP.

BST maintains and monitors independence as follows:

- Prior to excepting any new engagement, BST does an independence check with all its professional and technical employees in addition to routine, annual independence checks.
- BST's professional and technical employees are advised of our policies during the orientation process and are reminded annually as a part of monitoring compliance with such policies.
- BST emphasizes independence and other ethical considerations in our training programs which start at the time of employment. We require periodic independence and ethics training for all professional employees, which include BST's independence and ethics policies and the independence and ethics requirements of all applicable regulators.



Firm Overview

Focused on Client Success from Start to Finish

Helping Clients Reach Their Goals for 75 Years

Serving clients since 1944, BST is one of the largest regional certified public accounting and consulting firms in upstate New York, with office locations in Albany and New York.

We are committed to providing exemplary services and actionable business advice that allows you to proactively plan for your tax and audit requirements, make the most of your resources, and operate at peak efficiency. At BST, we are honored by your trust and invested in growing your organization, designing customized plans for the future, and turning your goals (even the lofty ones) into a reality.

With a commitment to delivering exceptional service, we cater to a select group that includes government organizations, as well as those in real estate, construction, manufacturing and distribution, employee benefits, retail, medical, professional services, and government. With a broad portfolio of accounting, auditing, tax, consulting, and wealth management services, as well as valuation, forensic accounting, and litigation support, we can provide a full range of services built around your organization's needs.

Our Promise to You

Clear and regular communication is the foundation of any great relationship. By listening attentively and working proactively with you, we can better understand your needs and deliver meaningful solutions that exceed your expectations.

Our ultimate mission is your success. We accomplish this by cultivating a close, long-term relationship with every client and managing your finances as if they were our own. We pledge to always provide:

- Professionals who are highly skilled in your niche, so you never have to worry if they understand what you do or need;
- Consistent communications with your management team throughout the year so you are never left wondering whether your work is getting done;
- Experts who bring forward-looking methods of planning and savings, so you know we are thinking about the future as well as the past;
- Prompt and responsive service so you know that your needs will be met with a sense of urgency and attention that you desire and deserve.



Firm Overview

Focused on Client Success from Start to Finish

When it boils down to it, our goals are met if yours are exceeded. Our promise to you is that we will employ all that we are able to help you reach the pinnacle of what your organization is capable of achieving.

Qualified to Meet Your Needs

For over seven decades, we've worked to build a firm comprised of the greatest minds in the profession and to give them access to the top resources available. Through the years, as the industries we serve – as well as the laws that apply to them – became more complex, we've worked diligently to always stay up-to-date and kept pace with the changes, ensuring our clients remain ahead of the curve.

Our Government Service Group is one of the best in New York, taking pride in going above and beyond to understand the ever-changing needs and requirements of the industry. We offer a wide range of services from traditional auditing, accounting, and financial consulting to highly specialized services unique to non-profits. The BST service team, as further detailed later in this proposal, is comprised of experts and financial specialists with a deep understanding of government organizations.

Independence

Providing the highest quality of services also requires that we are cognizant of remaining independent as well. To ensure that we meet or exceed independence requirements, we:

- Complete a thorough independence check with all professional and technical employees prior to accepting any new engagement.
- Advise all employees of our policies during the orientation process and retrain them annually as a part of our compliance monitoring process.
- Emphasize independence and other ethical considerations with selected training programs, particularly for new hires.
- Require periodic training for all professional employees that covers our independence and ethics policies and the requirements of all applicable regulators.

Our Government Service Group is one of the best in New York, taking pride in going above and beyond to understand the ever-changing needs and requirements of the industry.



Value-Added Services

Here to Meet Your Needs Beyond Audit

On-Call Assistance in Tax Matters

Because of the complex and rapidly changing nature of today's Internal Revenue Code, we do our best to respond quickly to any and all tax questions. BST tax partners are available to respond to issues and inquiries as well as conduct research and offer advice on these matters. Additionally, we can draw upon the specialized tax services (federal, state, and local) of RSM and Alliance members throughout the U.S. and internationally as needs arise.

Virtual Accounting Services (VAS)

VAS provides best-in-class technology solutions that are customized, scalable, and offer real-time data and information that deliver actionable insights. We create the right mix of professional services that will supplement existing staff or act as your entire finance infrastructure. Through our Modern CFO Services, VAS can provide consultation services directly to the decision maker; you have a partner with whom to discuss big-picture growth strategy, help to analyze decisions, assist in creating budgets, help manage taxes, and provide the support you seek to grow. Stop working in your business and get back to working on your business!

Retirement Plan & Consulting (TPA) Services

BST's dedicated team of retirement plan professionals brings extensive experience, specialized education, and expert level certification in the field of retirement plan services to help design, establish, guide, and monitor all aspects of your retirement related employee benefits. We provide Third Party Administration and Consulting Services for retirement plans including 401(k), 403(b), 457(b), Profit Sharing, Defined Benefit, Cash Balance, Money Purchase, ESOPs, and Prevailing Wage plans.

Human Resources Consulting and Management

Northeast HR for Hire, a subsidiary of BST, is a full-service solution to your human resources needs. We focus on operational, management, and human resources consulting for small and medium-sized organizations, functioning as a fractional or full-time human resources department. By anticipating, analyzing, and responding to your human resources issues, we give you the freedom to concentrate on building a successful government.



Value-Added Services

Here to Meet Your Needs Beyond Audit

Outsourced Accounting Services

CFO for Hire, a subsidiary of BST, is a scalable, cost effective outsourced accounting solution that can fit your organization's unique financial needs. From bookkeeping to CFO level services, we assemble a custom team of financial experts that can handle your day to day bookkeeping or long-term accounting needs; our goal is to provide you with timely, consistent, and accurate financial reporting.

Valuation, Forensic & Litigation Services

Our professionals are recognized as some of the most respected and renowned in the industry. Drawing upon our expertise of accounting, audit and tax, we can help clients tackle the organizational and financial risks associated with disputes and fraud and create effective and efficient solutions to a wide range of dispute resolution matters including business valuation, economic damage analysis, insurance claim services, forensic accounting and fraud, domestic relations services and divorce tools and information.

Employee Benefit Plans

At BST, our approach to developing a strong Employee Benefit Plan strategy centers around planning. By being intimately involved in your government and asking probing questions, we are able to advise you of Employee Benefit Plan savings opportunities and moves you can make throughout the year, so that it's more of a formality and a low-stress event because you've maximized your opportunities and there are no surprises. Because we are structured around industries of specialization, we have Employee Benefit Plan experts fluent in the nuances of the laws as they relate to the industries we service.



Giving Back

Creating a Culture of Benevolence & Gratitude

At BST, we don't just talk about giving back, we work every day to foster a truly charitable culture. Helping those in need and leaving the world in a better place should be the goal of everyone! We work hard to ensure this philosophy shines through in the work we do for our clients as well in how we support our local communities.

As an active part of the Capital Region for 75 years, we take great pride in this place we call home and the investments we have made toward its growth and prosperity. We give in many ways, including donations, sponsorships, board and committee service, and volunteerism, always working to create and support an environment where teamwork is encouraged, work-life balance is achieved, and everyone is encouraged to dedicate significant time and resources towards making a difference.



BST Day of Service

Every year, we take a full day as a firm to give back to the community we love so much by volunteering at local organizations. During recent Days of Service, we supported:

- Boys & Girls Clubs of Albany: Landscaping and making tie-dyed t-shirts with club members
- St. Anne Institute: Painting outdoor picnic tables and gazebos
- Vanderheyden Hall: Cleaning classrooms and lockers

	Average Rating
Drescher & Malecki	4.28
RBT	3.65
EFPR Group	4.20
BST & Co.	4.73
Bonadio Group	4.15

RFP #2020-106: Auditing Services

Proposal Rating Worksheet

Reviewer: Ransom Moore

	Weight	Drescher & Malecki		RBT		EFPR Group		BST		Bonadio Group	
		Rate	Score	Rate	Score	Rate	Score	Rate	Score	Rate	Score
Proposer's comprehension of the required (work) Scope of Services	15%	5	0.75	5	0.75	5	0.75	5	0.75	5	0.75
Prior experience in similar projects	15%	5	0.75	4	0.6	4	0.6	5	0.75	5	0.75
Familiarity to Albany County's accounting processes and procedures	15%	3	0.45	3	0.45	3	0.45	5	0.75	3	0.45
Proposer's demonstrated capabilities (equipment, financial solvency, location)	15%	5	0.75	5	0.75	5	0.75	5	0.75	5	0.75
Total proposed price	15%	5	0.75	1	0.15	5	0.75	4	0.6	1	0.15
Professional Qualifications	10%	5	0.5	5	0.5	5	0.5	5	0.5	5	0.5
Client References	5%	5	0.25	4	0.2	5	0.25	5	0.25	5	0.25
Completeness of Proposal	5%	5	0.25	5	0.25	5	0.25	5	0.25	5	0.25
Staffing- (Evaluation of Employees' Resumes)	5%	4	0.2	5	0.25	5	0.25	5	0.25	5	0.25
TOTALS:			4.65		3.90		4.55		4.85		4.10

RFP #2020-106: Auditing Services

Proposal Rating Worksheet

Reviewer: Michael McNeff

	Weight	Drescher & Malecki		RBT		EFPR Group		BST		Bonadio Group	
		Rate	Score	Rate	Score	Rate	Score	Rate	Score	Rate	Score
Proposer's comprehension of the required (work) Scope of Services	15%	5	0.75	4	0.6	3	0.45	5	0.75	5	0.75
Prior experience in similar projects	15%	4	0.6	3	0.45	3	0.45	5	0.75	5	0.75
Familiarity to Albany County's accounting processes and procedures	15%	3	0.45	3	0.45	3	0.45	5	0.75	3	0.45
Proposer's demonstrated capabilities (equipment, financial solvency, location)	15%	3	0.45	3	0.45	4	0.6	5	0.75	4	0.6
Total proposed price	15%	5	0.75	2	0.3	4	0.6	3	0.45	1	0.15
Professional Qualifications	10%	3	0.3	3	0.3	4	0.4	4	0.4	5	0.5
Client References	5%	3	0.15	3	0.15	3	0.15	4	0.2	5	0.25
Completeness of Proposal	5%	3	0.15	3	0.15	4	0.2	5	0.25	5	0.25
Staffing- (Evaluation of Employees' Resumes)	5%	4	0.2	3	0.15	4	0.2	4	0.2	5	0.25
TOTALS:			3.80		3.00		3.50		4.50		3.95

RFP #2020-106: Auditing Services

Proposal Rating Worksheet

Reviewer: Chip Dott

	Weight	Drescher & Malecki		RBT		EFPR Group		BST		Bonadio Group	
		Rate	Score	Rate	Score	Rate	Score	Rate	Score	Rate	Score
Proposer's comprehension of the required (work) Scope of Services	15%	5	0.75	5	0.75	5	0.75	5	0.75	5	0.75
Prior experience in similar projects	15%	4	0.6	4	0.6	4	0.6	5	0.75	5	0.75
Familiarity to Albany County's accounting processes and procedures	15%	3	0.45	3	0.45	3	0.45	5	0.75	3	0.45
Proposer's demonstrated capabilities (equipment, financial solvency, location)	15%	4	0.6	4	0.6	5	0.75	5	0.75	5	0.75
Total proposed price	15%	5	0.75	3	0.45	5	0.75	4	0.6	3	0.45
Professional Qualifications	10%	5	0.5	5	0.5	5	0.5	5	0.5	5	0.5
Client References	5%	5	0.25	4	0.2	5	0.25	5	0.25	5	0.25
Completeness of Proposal	5%	5	0.25	5	0.25	5	0.25	5	0.25	5	0.25
Staffing- (Evaluation of Employees' Resumes)	5%	5	0.25	5	0.25	5	0.25	5	0.25	5	0.25
TOTALS:			4.40		4.05		4.55		4.85		4.40



DANIEL P. McCOY
COUNTY EXECUTIVE

COUNTY OF ALBANY
DEPARTMENT OF GENERAL SERVICES
PURCHASING DIVISION
112 STATE STREET, ROOM 1000
ALBANY, NEW YORK 12207-2021
(518) 447-7140 - FAX (518) 447-5588

DAVID M. LATINA
COMMISSIONER OF GENERAL SERVICES

KAREN A. STORM
PURCHASING AGENT

MEMORANDUM

TO: Susan A. Rizzo
Albany County Comptroller

FROM: Karen Storm *[Signature]*
Purchasing Agent

DATE: October 7, 2020

RE: RFP #2020-106 Auditing Services

I am in receipt of your recommendation to award the aforementioned Request for Proposals to BST & Co. in the amount of \$423,000.00.

I have reviewed your scoring sheets and believe that you have performed a thorough evaluation of the proposal(s) submitted. I have no objection to the selection of BST & Co. for an award.

Please obtain the necessary contract approval of the County Legislature, so that we may issue a Notice of Award to the successful proposer.

RESOLUTION NO. 507

**AUTHORIZING AN AGREEMENT WITH SAXBST LLP FOR
INDEPENDENT AUDITING SERVICES**

Introduced: 12/7/15

By: Audit and Finance Committee:

WHEREAS, Albany County is required by law to provide yearly independent audits to New York State, and

WHEREAS, The Albany County Purchasing Agent in cooperation with the County Comptroller issued a Request for Proposals (RFP) for such services, and

WHEREAS, The Comptroller's Office has reviewed the qualifications and proposals of six firms responding to the RFP and recommended awarding the contract to SaxBST LLP as offering the best value for the County, and

WHEREAS, SaxBST LLP, submitted a \$409,500 quote for auditing services for 2015, 2016 and 2017 fiscal years, now, therefore be it

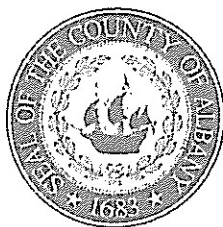
RESOLVED, By the Albany County Legislature that the County Executive is authorized to enter into an agreement with SaxBST LLP, 26 Computer Dr. West, Albany, NY 12205 for three years, with two one-year options to renew, regarding performance of financial audit services in accordance with the submitted proposal for the 2015, 2016 and 2017 fiscal years, and, be it further

RESOLVED, That the agreement shall indicate that the fees for the auditing services shall not exceed the following amounts: \$134,000 for auditing 2015 records; \$136,500 for auditing 2016 records and \$139,000 for auditing records for the 2017 fiscal year, and, be it further

RESOLVED, That the County Attorney is authorized to approve said agreement as to form and content, and, be it further

RESOLVED, That the Clerk of the County Legislature is directed to forward certified copies of this resolution to the appropriate County Officials.

Adopted by unanimous vote. 12/7/15



COUNTY OF ALBANY OFFICE OF THE COMPTROLLER
112 STATE STREET, ROOM 1030, ALBANY, NEW YORK 12207-2021
(518) 447-7130 | susan.rizzo@albanycountyny.gov

SUSAN A. RIZZO
COUNTY COMPTROLLER

October 5, 2020

Hon. Andrew Joyce, Chairman
Albany County Legislature
112 State Street – Suite 710
Albany, New York 12207

RE: RLA – Bank Contract – Second one-year extension

Dear Hon. Andrew Joyce,

The Department of Audit and Control is requesting approval to exercise the second and final one-year extension for a professional services contract with M&T Bank from November 15, 2020 and ending November 14, 2021. This agreement provides banking services for Albany County.

The RLA, Resolution No. 2020-45 and Resolution No. 2016-401 are included for your review.

Should you have any questions, please contact me at (518) 447-7130.

Sincerely,

Susan A. Rizzo
County Comptroller

cc: Patrick Collins, Counsel to the Chair
Rebekah Kennedy, Majority Counsel
Arnis Zilgme, Minority Counsel

REQUEST FOR LEGISLATIVE ACTION

Authorization to Exercise One Year Renewal Option for Banking Services

Date: 10/05/2020
Submitted By: Susan A. Rizzo
Department: Department of Audit and Control
Title: County Comptroller
Phone: (518) 447-7130
Department Rep.
Attending Meeting: Susan A. Rizzo

Purpose of Request:

- ☐ Adopting of Local Law
 - ☐ Amendment of Prior Legislation
 - ☐ Approval/Adoption of Plan/Procedure
 - ☐ Bond Approval
 - ☐ Budget Amendment
 - ☒ Contract Authorization
 - ☐ Countywide Services
 - ☐ Environmental Impact/SEQR
 - ☐ Home Rule Request
 - ☐ Property Conveyance
 - ☐ Other: (state if not listed) _____
-

CONCERNING BUDGET AMENDMENTS

Increase/decrease category (choose all that apply):

- ☐ Contractual
- ☐ Equipment
- ☐ Fringe
- ☐ Personnel
- ☐ Personnel Non-Individual
- ☐ Revenue

Increase Account/Line No.:

Source of Funds:

Title Change: _____

CONCERNING CONTRACT AUTHORIZATIONS

Type of Contract:

- ☐ Change Order/Contract Amendment
- ☐ Purchase (Equipment/Supplies)
- ☐ Lease (Equipment/Supplies)
- ☐ Requirements
- ☒ Professional Services
- ☐ Education/Training
- ☐ Grant

Choose an item.

Submission Date Deadline

- ☐ Settlement of a Claim
- ☐ Release of Liability
- ☐ Other: (state if not listed) _____

Contract Terms/Conditions:

Party (Name/address):

M&T Bank
80 State Street
Albany, NY 12207

Additional Parties (Names/addresses):

Amount/Raise Schedule/Fee:

Scope of Services:

Banking Services

Bond Res. No.:

Date of Adoption:

CONCERNING ALL REQUESTS

Mandated Program/Service:

Yes ☐ No ☒

If Mandated Cite Authority:

Is there a Fiscal Impact:

Yes ☒ No ☐

Anticipated in Current Budget:

Yes ☒ No ☐

County Budget Accounts:

Revenue Account and Line:

Revenue Amount:

Appropriation Account and Line:

Appropriation Amount:

Source of Funding – (Percentages)

Federal:

State:

County: 100%

Local:

Term

Term: (Start and end date)

November 15, 2020 – November 14, 2021

Length of Contract:

One Year Extension

Impact on Pending Litigation

Yes ☐ No ☒

If yes, explain:

Previous requests for Identical or Similar Action:

Resolution/Law Number:

Resolution No. 45

Date of Adoption:

02/10/2020

Justification: (state briefly why legislative action is requested)

The contract extension is necessary to retain banking services for Albany County's daily operations by the County Comptroller.

RESOLUTION NO. 45

AUTHORIZING AN AGREEMENT WITH M & T BANK FOR BANKING SERVICES

Introduced: 2/10/20

By Audit and Finance Committee:

WHEREAS, By Resolution No. 401 for 2016 this Honorable Body authorized an agreement with M & T Bank regarding professional banking services for the Department of Audit and Control for a term commencing November 5, 2016 through November 14, 2019, with two one-year options to renew, and

WHEREAS, The Albany County Comptroller has requested authorization to exercise the first of the optional one year extensions and to enter into an agreement with M & T Bank regarding professional services for a term commencing November 15, 2019 and ending November 14, 2020 according to the terms and fee arrangements specified in the firm's Request for Proposals (RFP) response, and

WHEREAS, The Comptroller has indicated that the contract extension is necessary as it will allow the Department of Audit and Control to retain banking services which are vital in allowing it to conduct its day to day operations, now, therefore be it

RESOLVED, By the Albany County Legislature that the County Executive is authorized to enter into an agreement with M & T Bank, Albany, NY 12207 regarding professional banking services for the Department of Audit and Control for a term commencing November 15, 2019 and ending November 14, 2020, according to the terms and fee arrangements specified in the firm's Request for Proposals (RFP) response and, be it further

RESOLVED, That the County Attorney is authorized to approve said agreement as to form and content, and, be it further

RESOLVED, That the Clerk of the County Legislature is directed to forward certified copies of the resolution the appropriate County Officials.

Adopted by unanimous vote - 2/10/20

State of New York
County of Albany

This is to certify that I, the undersigned, Clerk of the Albany County Legislature, have compared the foregoing copy of the resolution and/or local law with the original resolution and/or local law now on file in the office, and which was passed by the Legislature of said County on the 10th day of February, 2020, a majority of all members elected to the Legislature voting in favor thereof, and that the same is a correct and true transcript of such original resolution and/or local law and the whole thereof.



IN WITNESS THEREOF, I have hereunto set my hand and the
official seal of the County Legislature this 12th day of February, 2020.

Necole Chambers
Clerk, Albany County Legislature

RESOLUTION NO. 401

AUTHORIZING AN AGREEMENT WITH M & T BANK FOR BANKING SERVICES

Introduced: 9/12/16

By Audit and Finance Committee:

WHEREAS, The Albany County Purchasing Agent in cooperation with the County Comptroller and Commissioner of Management and Budget issued a Request for Proposals (RFP) regarding banking services for Albany County, and

WHEREAS, The Comptroller and Commissioner of Management and Budget have reviewed the responses of five institutions that were received and considered criteria such as comprehension of work and scope of services; total price and yield on investments; experience with similar projects; demonstrated capabilities including location, financial solvency and equipment; and length of time in business, and

WHEREAS, It has been recommended that a contract for banking services be awarded to M & T Bank based on a comparison of the criteria set forth above, now, therefore be it

RESOLVED, By the Albany County Legislature that the County Executive is authorized to enter into an agreement with M & T Bank for such banking services as are required by the Comptroller and Commissioner of Management and Budget for a term beginning November 15, 2016 through November 14, 2019, with two one-year options to renew, and, be it further

RESOLVED, That the County Attorney is authorized to approve said agreement as to form and content, and, be it further

RESOLVED, That the Clerk of the County Legislature is directed to forward certified copies of this resolution to the appropriate County Officials.

Adopted by unanimous vote. 9/12/16

State of New York
County of Albany

This is to certify that I, the undersigned, Clerk of the Albany County Legislature, have compared the foregoing copy of the resolution and/or local law with the original resolution and/or local law now on file in the office, and which was passed by the Legislature of said County on the 12th day of September, 2016, a majority of all members elected to the Legislature voting in favor thereof, and that the same is a correct and true transcript of such original resolution and/or local law and the whole thereof.



IN WITNESS WHEREOF, I have hereunto set my hand and the
official seal of the County Legislature this 13th day of September, 2016.

A handwritten signature in cursive script, appearing to read "Paul J. Deane", is written over a horizontal line.

Clerk, Albany County Legislature



DANIEL P.
McCOY
COUNTY EXECUTIVE

COUNTY OF ALBANY
DEPARTMENT OF MANAGEMENT
AND BUDGET
112 STATE STREET, ROOM 1200
ALBANY, NEW YORK 12207

SHAWN A. THELEN
COMMISSIONER

M. DAVID REILLY
DEPUTY COMMISSIONER

Honorable Andrew Joyce
Chair, Albany County Legislature
112 State Street, Rm. 710
Albany, NY 12207

Dear Chairman Joyce:

Attached, please find a Request for Legislative Action respectfully requesting that authorization be provided to the County Comptroller to issue Tax Anticipation Notes (TANs) for an amount not to exceed \$40 million. This funding will assist in the County's cash management ensuring that the necessary cash is on hand to meet operational expenses and will be backed by a portion of the 2021 Tax levy from the County to the municipalities within the County.

The short term borrowing will provide the County with the necessary cash to maintain a positive balance in the General Fund through the fourth quarter of the 2020 and into 2021. While there is an existing request for \$16.8 million against the remaining portion of the 2020 warrant, there are concerns that this will not be enough to cover worst case scenarios and due to the scheduling of Legislative meetings and the time required for approval has led to a realization that we will need to ask for authorization before knowing the exact amount that will be needed. Based on all forecasts that we have done, between Management and Budget as well as the Comptroller's office, we have come up with a "worst case scenario" of needing an additional \$40 million. We would like to request authorization of up to this amount and will likely borrow less as we can perform more precise forecasts as we get closer to year end. There are administrative actions we could take to reduce this number, but the additional interest charged on those amounts would be several times the size of the interest paid on this short term borrowing.

Two of the County's main sources of revenue have been impacted during the COVID-19 pandemic; sales tax receipts and reimbursements from New York State. While sales tax receipts have started to begin their return to normalcy, we still do not know the final numbers for either the fourth quarter of 2020. Additionally, many of the payments from NY State are being partially

withheld at this time. What this means is that certain reimbursements are only being paid at 80% of their face value based on authority granted in the State FY 2021 Enacted Budget. If the Federal Government provides funding to the State to offset revenue losses then the County would be eligible to receive all or a portion of these withheld funds.

The Department of Management and Budget will continue to monitor this situation on an ongoing basis. I will be available at the Audit and Finance Committee meeting to provide additional information and answer any questions for you. If there are questions before that date, please reach out and we can discuss them at a mutually agreeable time.

Sincerely,

M. David Reilly
Deputy Commissioner

cc: Dennis Feeney, Majority Leader
Frank Mauriello, Minority Leader
Rebekah Kennedy, Majority Counsel
Arnis Zilgme, Minority Counsel



County of Albany

112 State Street
Albany, NY 12207

Legislation Text

File #: TMP-2055, **Version:** 1

REQUEST FOR LEGISLATIVE ACTION

Description (e.g., Contract Authorization for Information Services):

Authorization for the Issuance of Tax Anticipation Notes (TANs)

Date: 10/22/20
Submitted By: Dave Reilly
Department: Management and Budget
Title: Deputy Commissioner
Phone: 518-447-5525
Department Rep.
Attending Meeting: Dave Reilly

Purpose of Request:

- ☐ Adopting of Local Law
- ☐ Amendment of Prior Legislation
- ☐ Approval/Adoption of Plan/Procedure
- ☒ Bond Approval
- ☐ Budget Amendment
- ☐ Contract Authorization
- ☐ Countywide Services
- ☐ Environmental Impact/SEQR
- ☐ Home Rule Request
- ☐ Property Conveyance
- ☐ Other: (state if not listed) Click or tap here to enter text.

CONCERNING BUDGET AMENDMENTS

Increase/decrease category (choose all that apply):

- ☐ Contractual
- ☐ Equipment
- ☐ Fringe
- ☐ Personnel
- ☐ Personnel Non-Individual

☐ Revenue

Increase Account/Line No.: Click or tap here to enter text.

Source of Funds: Click or tap here to enter text.

Title Change: Click or tap here to enter text.

CONCERNING CONTRACT AUTHORIZATIONS

Type of Contract:

☐ Change Order/Contract Amendment

☐ Purchase (Equipment/Supplies)

☐ Lease (Equipment/Supplies)

☐ Requirements

☐ Professional Services

☐ Education/Training

☐ Grant

Choose an item.

Submission Date Deadline Click or tap to enter a date.

☐ Settlement of a Claim

☐ Release of Liability

☐ Other: (state if not listed) Click or tap here to enter text.

Contract Terms/Conditions:

Party (Name/address):

Click or tap here to enter text.

Additional Parties (Names/addresses):

Click or tap here to enter text.

Amount/Raise Schedule/Fee: Click or tap here to enter text.

Scope of Services: Click or tap here to enter text.

Bond Res. No.: Click or tap here to enter text.

Date of Adoption: Click or tap here to enter text.

CONCERNING ALL REQUESTS

Mandated Program/Service: Yes ☐ No ☒

If Mandated Cite Authority: Click or tap here to enter text.

Is there a Fiscal Impact: Yes ☒ No ☐

Anticipated in Current Budget: Yes ☐ No ☒

County Budget Accounts:

Revenue Account and Line: Click or tap here to enter text.
Revenue Amount: Click or tap here to enter text.

Appropriation Account and Line: Click or tap here to enter text.
Appropriation Amount: Click or tap here to enter text.

Source of Funding - (Percentages)

Federal: Click or tap here to enter text.
State: Click or tap here to enter text.
County: Click or tap here to enter text.
Local: Click or tap here to enter text.

Term

Term: (Start and end date) 10/1/20 - 3/31/21
Length of Contract: Click or tap here to enter text.

Impact on Pending Litigation

If yes, explain: Yes ☐ No ☒
Click or tap here to enter text.

Previous requests for Identical or Similar Action:

Resolution/Law Number: Resolution 372
Date of Adoption: 10/13/20

Justification: (state briefly why legislative action is requested)

The short term borrowing will provide the County with the necessary cash to maintain a positive balance in the General Fund through the fourth quarter of the 2020 and into 2021. This funding will assist in the County's cash management ensuring that the necessary cash is on hand to meet operational expenses and will be backed by a portion of the 2021 Tax levy from the County to the municipalities within the County.

Two of the County's main sources of revenue have been impacted during the COVID-19 pandemic; sales tax receipts and reimbursements from New York State. While sales tax receipts have started to begin their return to normalcy, we still do not know the final numbers for either the fourth quarter of 2020. Additionally, many of the payments from NY State are being paid at 80% of their face value based on authority granted in the State FY 2021 Enacted Budget.

TAX ANTICIPATION NOTE RESOLUTION DATED NOVEMBER __, 2020

A TAX ANTICIPATION NOTE RESOLUTION OF THE COUNTY OF ALBANY, NEW YORK (THE “COUNTY”) DATED NOVEMBER __, 2020, A RESOLUTION AUTHORIZING THE ISSUANCE OF UP TO \$40,000,000 AGGREGATE PRINCIPAL AMOUNT OF TAX ANTICIPATION NOTES, PURSUANT TO THE LOCAL FINANCE LAW, IN ANTICIPATION OF THE COLLECTION OF REAL ESTATE TAXES TO BE LEVIED IN AND FOR THE COUNTY IN ITS 2021 FISCAL YEAR.

WHEREAS, the County of Albany (the “County”), located in the State of New York (the “State”), desires to issue tax anticipation notes in anticipation of the collection of real estate taxes to be levied in and for the County in its 2021 fiscal year; and

WHEREAS, the real estate taxes for such fiscal year are to be levied and such taxes for such fiscal year are uncollected; and

WHEREAS, no tax anticipation notes have heretofore been authorized to be issued in anticipation of the collection of real estate taxes in the County in its 2021 fiscal year;

NOW, THEREFORE, BE IT RESOLVED BY THE COUNTY LEGISLATURE OF THE COUNTY OF ALBANY, AS FOLLOWS:

SECTION 1. There are hereby authorized to be issued tax anticipation notes of the County of Albany in the aggregate principal amount of up to \$40,000,000 pursuant to the Local Finance Law, in anticipation of the collection of real estate taxes to be levied in and for the County in its 2021 fiscal year. Such notes shall be designated “County of Albany Tax Anticipation Notes, 2020” (or such other designation as the County Comptroller may determine, in accordance with the powers delegated to the County Comptroller by this resolution) (the “Notes”).

SECTION 2. The Notes shall be dated, shall mature, shall be in such denominations and shall bear interest at the rate or rates of interest per annum, as may be determined at the time of the sale of the Notes by the County Comptroller, in accordance with the provisions of the Local Finance Law of the State and Chapter II of Title 2 of the New York Code of Rules and Regulations.

SECTION 3. The County Legislature has ascertained and hereby states that:

(a) the real estate taxes for the 2021 fiscal year to be levied by the County is an amount equal to approximately \$90,000,000 and such amount has not been collected;

(b) no tax anticipation notes have heretofore been authorized to be issued in anticipation of the collection of such real estate taxes;

(c) the proceeds of the Notes will be used to meet the ordinary operating expenses and other various expenses of the County;

(d) no amount has been included in the annual budget of the County for such fiscal year to offset, in whole or in part, any anticipated deficiency in the collection during such fiscal year of real estate taxes to be received for such fiscal year;

(e) the date of maturity of the Notes shall not be extended beyond the close of the applicable period provided in Section 24.00 of the Local Finance Law for the maturity of the Notes; and

(f) all earnings from the proceeds of the Notes, if any, shall be applied for payment of interest on the Notes when due and payable or for payment of other governmental purposes of the County.

SECTION 4. Pursuant to the provisions of Sections 24.00, 30.00, 39.00, 50.00, 56.00, 57.10 and 60.00, inclusive, of the Local Finance Law, the power to sell, issue and deliver and to prescribe the terms, form and contents of the Notes is hereby delegated to the County Comptroller, as the chief fiscal officer of the County. The County Comptroller is hereby authorized to execute the Notes on behalf of the County and the County Clerk is hereby authorized to affix the seal of the County to the Notes and to attest such seal. The County Comptroller is hereby authorized to deliver the Notes to the purchaser thereof upon receipt in full of the purchase price thereof. Without in any way limiting the scope of the foregoing delegation of powers, the County Comptroller, to the extent permitted by Section 58.00(f) of the Local Finance Law, is specifically authorized to accept bids submitted in electronic format for any bonds or notes of the County.

SECTION 5. The faith and credit of the County is hereby and shall be irrevocably pledged for the payment of the principal of and interest on all obligations authorized and issued pursuant to this resolution as the same shall become due.

SECTION 6. The County Comptroller is hereby directed to file with the County Legislature a certificate or certificates reporting the date of the Notes, the date the Notes mature, the rate of interest of the Notes, the purchaser of the Notes and a statement to the effect that the powers of the County Comptroller to sell, issue and deliver the Notes are in full force and effect and have not been modified, amended or revoked prior to the delivery of and payment for the Notes.

SECTION 7. The County Comptroller is further authorized, as applicable, to take such actions and execute such documents as may be necessary to ensure the continued status of the interest on the notes authorized by this resolution as excludable from gross income for federal income tax purposes pursuant to Section 103 of the Internal Revenue Code of 1986, as amended (the "Code") and to designate the notes authorized by this resolution as "qualified tax-exempt bonds" in accordance with Section 265(b)(3)(B)(i) of the Code in the event that the County determines that the interest on such notes should be excludable from gross income for federal income tax purposes and issued as "qualified tax-exempt bonds".

SECTION 8. The County Comptroller is further authorized to enter into a continuing disclosure agreement with the initial purchaser of the Notes authorized by this resolution, containing provisions which are satisfactory to such purchaser in compliance with the provisions of Rule 15c2-12, promulgated by the Securities and Exchange Commission pursuant to the Securities Exchange Act of 1934.

SECTION 9. The issuance by the County of the Notes to meet the ordinary operating expenses and other various expenses of the County is a Type II action under the State Environmental Quality Review Act ("SEQRA") and, therefore, no further action by the County is required under SEQRA.

SECTION 10. This resolution shall take effect immediately.

CLERK'S CERTIFICATE

I, Necole Chambers, Clerk of the County Legislature of the County of Albany, State of New York, HEREBY CERTIFY that the foregoing annexed extract from the minutes of a meeting of the County Legislature duly called and held on November __, 2020, has been compared by me with the original minutes as officially recorded in my office in the Minute Book of said County Legislature and is a true, complete and correct copy thereof and of the whole of said original minutes so far as the same relate to the subject matters referred to in said extract.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed the corporate seal of said County of Albany this ____ day of November, 2020.

Clerk of the County Legislature



DANIEL P. MCCOY
COUNTY EXECUTIVE

COUNTY OF ALBANY
WATER PURIFICATION DISTRICT
1 CANAL ROAD, SOUTH
ALBANY, NEW YORK 12204

REMITTANCE: 112 STATE ST., BASEMENT, ALBANY, NY 12207
PHONE: (518) 447-1611 FAX: (518) 433-0369
www.albanycounty.com

COMMISSION

JOHN R. ADAIR, JR.
CHAIRMAN

JOHN W. BISHOP, JR.
NICHOLAS W. FOGLIA
DENNIS RIGOSU
SEAN E. WARD

ANGELO GAUDIO, P.E.
EXECUTIVE DIRECTOR

September 29, 2020

Hon. Andrew Joyce
Chairman
Albany County Legislature
112 State Street – Suite 710
Albany, New York 12207

Re: Budget Transfer to Correct Negative Fund Lines

Dear Mr. Joyce

The Albany County Water Purification District (District) is requesting approval of a budget amendment for the transfer of \$12,523.40 to correct negative budget lines. The requested transfer is as follows:

Increase fund line G98130.4.4037 (Insurance): \$11,012.00

Increase fund line G98130.1.9951 (Health Insurance Buyout): \$1,000

Increase fund line G98130.1.3630 (Chief of Instrumentation): \$511.40

Decrease fund line G98130.1.3121 (Senior Laboratory Technician): - \$12,523.40

The requested transfer is not anticipated to negatively impact the District's 2020 budget.

If you have any questions or concerns you may reach me at (518) 447-1617.

Sincerely,

Angelo Gaudio, P.E.
Executive Director

cc: Dennis A. Feeney, Majority Leader
Rebekah Kennedy, Majority Counsel
Frank Mauriello, Minority Leader
Arnis Zilgme, Minority Counsel

				APPROPRIATIONS									
		ACCOUNT NO.		RESOLUTION DESCRIPTION		INCREASE		DECREASE		UNIT COST		DEPARTMENT NAME	
G9	8130	1	3121	Senior Laboratory Technician				\$	12,523.40		\$	48,151.00	Water Purification
G9	8130	1	3630	Chief Of Instrumentation			\$ 511.40				\$	1.00	Water Purification
G9	8130	1	9951	Health Insurance Buyout			\$ 1,000.00				\$	5,500.00	Water Purification
G9	8130	4	4037	Insurance			\$ 11,012.00				\$	85,000.00	Water Purification
				TOTAL APPROPRIATIONS			\$ 12,523.40		\$ 12,523.40				
				ESTIMATED REVENUES									
		ACCOUNT NO.		RESOLUTION DESCRIPTION		INCREASE		DECREASE				DEPARTMENT NAME	
				TOTAL ESTIMATED REVENUES									
				GRAND TOTALS			\$ 12,523.40		\$ 12,523.40				



County of Albany

112 State Street
Albany, NY 12207

Legislation Text

File #: TMP-1959, **Version:** 1

REQUEST FOR LEGISLATIVE ACTION

Description (e.g., Contract Authorization for Information Services):

Budget amendment for the transfer of \$12,523.40 to correct negative fund lines

Date: 9/29/2020
Submitted By: Angelo Gaudio
Department: Water Purification District
Title: Executive Director
Phone: 518-598-9588
Department Rep: Angelo Gaudio
Attending Meeting: Angelo Gaudio

Purpose of Request:

- ☐ Adopting of Local Law
- ☐ Amendment of Prior Legislation
- ☐ Approval/Adoption of Plan/Procedure
- ☐ Bond Approval
- ☒ Budget Amendment
- ☐ Contract Authorization
- ☐ Countywide Services
- ☐ Environmental Impact/SEQR
- ☐ Home Rule Request
- ☐ Property Conveyance
- ☐ Other: (state if not listed) Click or tap here to enter text.

CONCERNING BUDGET AMENDMENTS

Increase/decrease category (choose all that apply):

- ☒ Contractual
- ☐ Equipment
- ☐ Fringe
- ☒ Personnel
- ☐ Personnel Non-Individual

CONCERNING CONTRACT AUTHORIZATIONS

- ☐ Change Order/Contract Amendment
- ☐ Purchase (Equipment/Supplies)
- ☐ Lease (Equipment/Supplies)
- ☐ Requirements
- ☐ Professional Services
- ☐ Education/Training
- ☐ Grant

Submission Date Deadline Click or tap to enter a date.

- ☐ Settlement of a Claim
 - ☐ Release of Liability
 - ☐ Other: (state if not listed) Click or tap here to enter text.

Party (Name/address):
Click or tap here to enter text.

Additional Parties (Names/addresses):
Click or tap here to enter text.

Amount/Raise Schedule/Fee: Click or tap here to enter text.
Scope of Services: Click or tap here to enter text.

Bond Res. No.: Click or tap here to enter text.
Date of Adoption: Click or tap here to enter text.

CONCERNING ALL REQUESTS

Mandated Program/Service: Yes ☐ No ☒

If Mandated Cite Authority: Click or tap here to enter text.

Is there a Fiscal Impact: Yes ☒ No ☐

Anticipated in Current Budget: Yes ☒ No ☐

County Budget Accounts:

Revenue Account and Line: Click or tap here to enter text.

Revenue Amount: Click or tap here to enter text.

Appropriation Account and Line: Increase \$ 11,012.00/G98130.44037

Increase \$ 1,000.00/G98130.19951

Increase \$ 511.40/G98130.1.3630

Decrease \$ 12,523.40/G98130.13121

Appropriation Amount: (See above)

Source of Funding - (Percentages)

Federal: Click or tap here to enter text.

State: Click or tap here to enter text.

County: 100%

Local: Click or tap here to enter text.

Term

Term: (Start and end date) Click or tap here to enter text.

Length of Contract: Click or tap here to enter text.

Impact on Pending Litigation

Yes ☐ No ☐

If yes, explain: Click or tap here to enter text.

Previous requests for Identical or Similar Action:

Resolution/Law Number: Click or tap here to enter text.

Date of Adoption: Click or tap here to enter text.

Justification: (state briefly why legislative action is requested)

Budget transfer of \$12,523.40 is needed to correct the following negative budget lines:

G98130.44037: \$11,012.00 (Insurance)

G98130.19951: \$ 1,000.00 (Health Insurance buyout)

G98130.1.3630 \$ 511.40 (Chief of Instrumentation)

Funds will be taken from fund line G98130.13121 Senior Laboratory Technician which is vacant and will not be filled this year.



COUNTY OF ALBANY
DEPARTMENT OF MENTAL HEALTH
175 GREEN STREET
ALBANY, NEW YORK 12202
518-447-4537 FAX 518-447-4577
WWW.ALBANYCOUNTY.COM

Daniel P. McCoy
County Executive

Daniel C. Lynch, Esq.
Deputy County Executive

Stephen J. Giordano, Ph.D.
Director of Mental Health

Susan H. Daley
Deputy Director

September 30, 2020

Honorable Andrew Joyce, Chairman
 Albany County Legislature
 112 State St., Rm. 710
 Albany, NY 12207

Dear Chairman Joyce,

The Department of Mental Health requests permission to transfer funds from a vacant Staff Social Worker line into our overtime account. The overtime account is currently at budget, we anticipate that the upcoming holidays will deplete the overtime budget as it is currently configured. We are requesting a transfer of \$9,000 in order to ensure adequate funds will be available for the remainder of 2020. The reason for the increase in overtime this year is Staff Worker vacancies in our 24/7 Mobile Crisis Team.

Feel free to contact Sarah Cantwell or me if you have any questions concerning this request.

Sincerely,

Stephen Giordano, Ph.D.
 Director

cc: Hon. Dennis A. Feeney, Majority Leader
 Hon. Frank A. Mauriello, Minority Leader
 Kevin Cannizzaro, Majority Counsel
 Minority Counsel



Legislation Text

File #: TMP-1955, **Version:** 1

REQUEST FOR LEGISLATIVE ACTION

Description (e.g., Contract Authorization for Information Services):

Overtime Budget Amendment Request

Date: September 30, 2020
Submitted By: Mark Gleason
Department: Mental Health
Title: Operations Analyst
Phone: 518-447-3014
Department Rep.
Attending Meeting: Dr. Stephen Giordano, Ph.D.

Purpose of Request:

- ☐ Adopting of Local Law
- ☐ Amendment of Prior Legislation
- ☐ Approval/Adoption of Plan/Procedure
- ☐ Bond Approval
- ☒ Budget Amendment
- ☐ Contract Authorization
- ☐ Countywide Services
- ☐ Environmental Impact/SEQR
- ☐ Home Rule Request
- ☐ Property Conveyance
- ☐ Other: (state if not listed) Click or tap here to enter text.

CONCERNING BUDGET AMENDMENTS

Increase/decrease category (choose all that apply):

- ☐ Contractual
- ☐ Equipment
- ☐ Fringe
- ☒ Personnel
- ☐ Personnel Non-Individual

☐ Revenue

Increase Account/Line No.:

Overtime A94310.019900

Source of Funds:

Staff Social Worker A94310.12205

Title Change:

Click or tap here to enter text.

CONCERNING CONTRACT AUTHORIZATIONS

Type of Contract:

☐ Change Order/Contract Amendment

☐ Purchase (Equipment/Supplies)

☐ Lease (Equipment/Supplies)

☐ Requirements

☐ Professional Services

☐ Education/Training

☐ Grant

Choose an item.

Submission Date Deadline Click or tap to enter a date.

☐ Settlement of a Claim

☐ Release of Liability

☐ Other: (state if not listed)

Click or tap here to enter text.

Contract Terms/Conditions:

Party (Name/address):

Click or tap here to enter text.

Additional Parties (Names/addresses):

Click or tap here to enter text.

Amount/Raise Schedule/Fee:

Click or tap here to enter text.

Scope of Services:

Click or tap here to enter text.

Bond Res. No.:

Click or tap here to enter text.

Date of Adoption:

Click or tap here to enter text.

CONCERNING ALL REQUESTS

Mandated Program/Service:

Yes ☐ No ☒

If Mandated Cite Authority:

Click or tap here to enter text.

Is there a Fiscal Impact:

Yes ☒ No ☐

Anticipated in Current Budget:

Yes ☐ No ☒

County Budget Accounts:

Revenue Account and Line: Click or tap here to enter text.
Revenue Amount: Click or tap here to enter text.

Appropriation Account and Line: Staff Social Worker A94310.12205
Appropriation Amount: \$9,000

Source of Funding - (Percentages)

Federal: Click or tap here to enter text.
State: Click or tap here to enter text.
County: 100%
Local: Click or tap here to enter text.

Term

Term: (Start and end date) 11/1/2020-12/31/2020
Length of Contract: 2 months

Impact on Pending Litigation

If yes, explain: Yes ☐ No ☒
Click or tap here to enter text.

Previous requests for Identical or Similar Action:

Resolution/Law Number: Click or tap here to enter text.
Date of Adoption: Click or tap here to enter text.

Justification: (state briefly why legislative action is requested)

The Department of Mental Health requests permission to transfer funds from a vacant Staff Social Worker line into our overtime account. The overtime account is currently at budget, we anticipate that the upcoming holidays will deplete the overtime budget as it is currently configured. We are requesting a transfer of \$9,000 in order to ensure adequate funds will be available for the remainder of 2020. The reason for the increase in overtime this year is Staff Worker vacancies in our 24/7 Mobile Crisis Team.

Budget Amendment



COUNTY OF ALBANY
DEPARTMENT OF MENTAL HEALTH
175 GREEN STREET
ALBANY, NEW YORK 12202
518-447-4537 FAX 518-447-4577
WWW.ALBANYCOUNTY.COM

Daniel P. McCoy
County Executive

Daniel C. Lynch, Esq.
Deputy County Executive

Stephen J. Giordano, Ph.D.
Director of Mental Health

Susan H. Daley
Deputy Director

September 30, 2020

Honorable Andrew Joyce, Chairman
 Albany County Legislature
 112 State St., Rm. 710
 Albany, NY 12207

Dear Chairman Joyce,

The Department of Mental Health requests permission to transfer funds from the Fees for Services account line into our Insurance account. The Insurance account is currently at budget, but we anticipate that the account will be over budget by year's end. We are requesting a transfer of \$12,500 in order to ensure adequate funds will be available for the remainder of 2020.

Feel free to contact Sarah Cantwell or me if you have any questions concerning this request.

Sincerely,


 Stephen Giordano, Ph.D.
 Director

cc: Hon. Dennis A. Feeney, Majority Leader
 Hon. Frank A. Mauriello, Minority Leader
 Kevin Cannizzaro, Majority Counsel
 Minority Counsel



Legislation Text

File #: TMP-1956, **Version:** 1

REQUEST FOR LEGISLATIVE ACTION

Description (e.g., Contract Authorization for Information Services):

Budget Amendment Request to Transfer Funds from account Fees for Services to the Insurance account.

Date:	September 30, 2020
Submitted By:	Mark Gleason
Department:	Mental Health
Title:	Operations Analyst
Phone:	518-447-3014
Department Rep.	
Attending Meeting:	Dr. Stephen Giordano, Ph.D.

Purpose of Request:

- ☐ Adopting of Local Law
- ☐ Amendment of Prior Legislation
- ☐ Approval/Adoption of Plan/Procedure
- ☐ Bond Approval
- ☒ Budget Amendment
- ☐ Contract Authorization
- ☐ Countywide Services
- ☐ Environmental Impact/SEQR
- ☐ Home Rule Request
- ☐ Property Conveyance
- ☐ Other: (state if not listed) Click or tap here to enter text.

CONCERNING BUDGET AMENDMENTS

Increase/decrease category (choose all that apply):

- ☒ Contractual
- ☐ Equipment
- ☐ Fringe
- ☐ Personnel

- ☐ Personnel Non-Individual
☐ Revenue

Increase Account/Line No.: Insurance A94310.44037
Source of Funds: Fees for Service A94310.44046
Title Change: Click or tap here to enter text.

CONCERNING CONTRACT AUTHORIZATIONS

Type of Contract:

- ☐ Change Order/Contract Amendment
☐ Purchase (Equipment/Supplies)
☐ Lease (Equipment/Supplies)
☐ Requirements
☐ Professional Services
☐ Education/Training
☐ Grant

Choose an item.

Submission Date Deadline Click or tap to enter a date.

- ☐ Settlement of a Claim
☐ Release of Liability
☐ Other: (state if not listed) Click or tap here to enter text.

Contract Terms/Conditions:

Party (Name/address):
Click or tap here to enter text.

Additional Parties (Names/addresses):
Click or tap here to enter text.

Amount/Raise Schedule/Fee: Click or tap here to enter text.
Scope of Services: Click or tap here to enter text.

Bond Res. No.: Click or tap here to enter text.
Date of Adoption: Click or tap here to enter text.

CONCERNING ALL REQUESTS

Mandated Program/Service: Yes ☐ No ☒
If Mandated Cite Authority: Click or tap here to enter text.

Is there a Fiscal Impact: Yes ☐ No ☒
Anticipated in Current Budget: Yes ☐ No ☒

County Budget Accounts:

Revenue Account and Line: Click or tap here to enter text.

Revenue Amount: Click or tap here to enter text.

Appropriation Account and Line: Fees for Service A94310.44046

Appropriation Amount: \$12,500

Source of Funding - (Percentages)

Federal: Click or tap here to enter text.

State: Click or tap here to enter text.

County: 100%

Local: Click or tap here to enter text.

Term

Term: (Start and end date) 11/1/2020-12/31/2020

Length of Contract: 2 months

Impact on Pending Litigation

Yes ☐ No ☒

If yes, explain: Click or tap here to enter text.

Previous requests for Identical or Similar Action:

Resolution/Law Number: Click or tap here to enter text.

Date of Adoption: Click or tap here to enter text.

Justification: (state briefly why legislative action is requested)

The Department of Mental Health requests permission to transfer funds from the Fees for Services account line into our Insurance account. The Insurance account is currently at budget, but we anticipate that the account will be over budget by year's end. We are requesting a transfer of \$12,500 in order to ensure adequate funds will be available for the remainder of 2020.

Budget Amendment



Daniel P. McCoy
County Executive

Maggie A. Alix
Director

COUNTY OF ALBANY
REAL PROPERTY TAX SERVICE AGENCY
112 State Street, Room 1340
ALBANY, NEW YORK 12207
OFFICE: (518) 487-5291
FAX: (518) 447-2503
www.albanycounty.com

September 30, 2020

Honorable Andrew Joyce, Chairman
Albany County Legislature
112 State Street, Rm 710
Albany, NY 12207

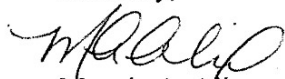
Re: Authorization to cancel and charge back unenforceable delinquent tax on 99 Cedarview Lane, Town of Colonie.

Dear Chairman Joyce,

The three-year time limit to use the ordinary correction of errors process has expired, therefore, enclosed for your review is a resolution. In reviewing the 2015 List of Delinquent Taxes, it became apparent that a sewer fee was imposed on a property in error. Parcel number 32.3-1-7.1, in the Town of Colonie, does not have a land or total assessed value, it is simply the common ground of a condominium complex.

The Finance Department filed the required Certificate of Withdrawal. Given the information provided, I recommend cancelling and charging back the unenforceable delinquent tax lien

Sincerely,


Maggie A. Alix

CC: Dennis Feeny, Majority Leader
Frank Mauriello, Minority Leader
Rebekah Kennedy, Majority Counsel
Minority Counsel

00/00/20

RESOLUTION NO. _____**AUTHORIZING THE CANCELLATION AND CHARGE BACK OF AN UNENFORCEABLE DELINQUENT REAL PROPERTY TAX LIEN ON 99 CEDARVIEW LANE, TOWN OF COLONIE**

Introduced: 00/00/20

By Audit and Finance Committee:

WHEREAS, the Director of the County Real Property Tax Services Agency has advised the Commissioner of the County Department of Management and Budget as Enforcing Officer of the Albany County Tax District ("Tax District Enforcing Officer") that the three year time limit for use of the ordinary "correction of errors" process provided by Real Property Tax Law, §554 to cancel and charge back the amount credited or guaranteed by the Tax District in connection with the following unenforceable delinquent pursuant to RPTL, §1138 which was returned to the Tax District for enforcement,

<u>Town of Colonie</u>				
<u>Parcel Location</u>	<u>Tax Map No.</u>	<u>Tax Lien Year(s)</u>	<u>Charge Back Amount</u>	<u>Reason</u>
99 Cedarview Ln.	32.3-1-7.1	2015 Property	\$29.44	This parcel appearing on the List of Delinquent Taxes, which is located on the common grounds of a condominium complex, had no land value and assessed value listed. It appears that due to a clerical error a sewer charge was imposed on the property.

, and

WHEREAS, pursuant to Real Property Tax Law, §1138 the County Legislature in its capacity as the governing body of the Tax District is authorized to without time limit cancel and charge back all amounts credited or guaranteed by the Tax District to any municipal corporation in connection with delinquent real property tax liens returned to the

Tax District for enforcement as to which there is no practical method to enforce the collection of said delinquent tax liens and that a supplementary proceeding to enforce collection of the taxes involved would not be effective, and

WHEREAS, the Tax District Enforcing Officer has as required by RPTL, §1138 (subds. 1 (a) and 2) duly issued and filed with the Albany County Clerk and the Clerk of the Albany County Legislature as the governing body of the Tax District a Certificate of Withdrawal of the above said parcel from the "In Rem" delinquent real property tax lien foreclosure proceeding brought by the Tax District to enforce the said delinquent real property tax lien against it, and

WHEREAS, the County Legislature has based upon the information in this regard provided to it by the Tax District Enforcing Officer determined pursuant to RPTL, §1138 (subd. 6 (a)) that under the circumstances presented there no practical method to enforce the collection of the above said delinquent tax lien and that a supplementary proceeding to enforce collection of the tax involved would not be effective , it is therefore hereby

RESOLVED, that pursuant to RPTL, §1138 (subd.6(a)) the above said delinquent real property tax lien is hereby cancelled and the Tax District Enforcing Officer is hereby directed to issue and within 10 days thereafter file with the Albany County Clerk a Certificate of Cancellation of the above said delinquent real property tax lien, and, be it further

RESOLVED, that the Tax District Enforcing Officer is pursuant to RPTL, §1138 (subd.6(c)) hereby authorized and directed to following the filing of said Certificate of Cancellation charge back all amounts credited or guaranteed by the Tax District to any municipal corporation in connection with the above said cancelled delinquent real property tax lien.

CERTIFICATE OF WITHDRAWAL

(Real Property Tax Law, §1138 (subds.1, 2 and 3))

INDEX NO. 05419-16

TO THE ALBANY COUNTY CLERK:

PLEASE TAKE NOTICE that the following parcel of real property included on the List of Delinquent Taxes for the "In Rem" delinquent tax lien foreclosure proceeding filed by the County of Albany, New York, Tax District in your Office under the above Index No. on December 14, 2016 covering the Town of Colonie in Albany County:

PARCEL No. 05419-16-000204
 OWNER(S) Shaker Commons Realty Corp
 ADDRESS 99 Cedarview Lane
Town of Colonie
 TAX MAP No. 03200300010070010000

RECEIVED
 2016 SEP 15 AM 8:30
 ALBANY COUNTY CLERK

is hereby **WITHDRAWN** from said foreclosure proceeding by me for one or more of the following reasons (check all that apply):

☒ There is reason to believe that there may be a legal impediment to the enforcement of the tax lien(s) affecting said parcel.

☐ The tax lien(s) on said parcel has/have been canceled or is/are subject to cancellation pursuant to section 558 of the Real Property Tax Law.

☐ The enforcement of the tax lien(s) on said parcel has/have been stayed by the filing of a petition pursuant to the Bankruptcy Code of 1978 (Title 11 of the United States Code).

☐ If the Tax District were to acquire said parcel, there is a significant risk that it might be exposed to a liability substantially in excess of the amount that could be recovered by enforcing said tax lien(s).

_____ The owner of said parcel has entered into an agreement to pay said tax lien(s) in installments pursuant to section 1184 of the Real Property Tax Law and has not defaulted thereon.

_____ Said parcel was included in the Petition for Foreclosure in said proceeding, but it has since been demonstrated to my satisfaction as Enforcing Officer that said parcel is residential or farm property, and as such, said parcel is not yet subject to inclusion in such a Petition.

The facts which render said parcel eligible for withdrawal from said proceeding are as follows: Legal Impediment - Erroneous Tax

PLEASE TAKE FURTHER NOTICE that pursuant to Real Property Tax Law, §1138 (sub. 2 (b) you are therefore required and directed to upon the filing of this Certificate of Withdrawal in your Office enter on said List of Delinquent Taxes the word "withdrawn" and the date of such filing opposite the description of said parcel.

PLEASE TAKE FURTHER NOTICE that pursuant to Real Property Tax Law, §1138 (subd. 3) the filing of this Certificate of Withdrawal has no effect upon the delinquent real property tax lien(s) against said parcel, or upon the notice of pendency of said proceeding as to said parcel, unless such lien(s) are canceled and, if said lien(s) are not canceled, said proceeding may be reinstated against said parcel.

DATED: September 11, 2020

TAX ENFORCING OFFICER
COUNTY OF ALBANY, NEW YORK, TAX DISTRICT


SHAWN A. THELEN, Albany County
Commissioner of Management and Budget

Town of Colonie
General Tax Bill - 2015
Duplicate Tax Bill

Tax Map No. 012689 32.3-1-7.1 Location Cedarview Ln Dimensions 0.00 by 0.00 10.90 Acres		School Dist 012605 North Colonie Prop Class 312 RES Vacant Land Addl Desc Common Condo Land	
Owner Shaker Commons Realty Corp 343A Watervliet Shaker Rd Latham, NY 12110		Bill No. 008465 Roll Section Account No. Mortgage NO. Bank Code Assessed Value 0	
Levy Description	Tax Value	Tax Rate	Tax Amount
Albany County Tax	0	5.620954	0.00
Alb Co Elect Chrgbk	0	0.017422	0.00
Town of Colonie Tax	0	3.592482	0.00
Boght community f.d.	OTO	2.514692	0.00
Sewer a land payment	2.00UN	12.620000	25.24
Sewer d debt payment	42.00UN	0.100000	4.20
Latham water dist	OTO	0.282138	0.00
Payment Schedule		Tax Amount Due: \$29.44	
Due Date	01/31/2015	02/28/2015	03/31/2015
Penalty	0.00	0.29	0.59
Total Due	\$29.44	\$29.73	\$30.03

File Edit View Toolbar Window Help



32.3-1-7.1 **012689** **Colonie** **Active** **R/S:1** **School: North Colonie**
Shaker Commons Realty Corp **Roll Year: 2014** **Prior Year** **Vac w/imprv /Condo** **Land AV:**
99 Cedarview Ln **Land Size: 10.90 acres** **Total AV:**

- Parcel 32.3-1-7.1
 - Notes
 - Assessment
 - Spec Dist(s)
 - Notes
 - Description
 - Owner(s)
 - Images
 - Gis
 - Site (1) Res
 - Land(s)
 - Imprvmt(s)
 - Valuation

Prop Class:	312 Vac w/imprv	Desc 1:	Common Condo Land
Ownership Code:	C Condo	Desc 2:	
Roll Section:	1 Taxable	Desc 3:	
Roll Subsection:		Desc Print Code:	P = Print on Roll & Bill
School Code:	012605 North Colonie	Land Com Code:	
Cons. School:		Land Com Year:	
Easement Code:		Ag District:	☐ Ag Dist No:
Allocation Factor:	.0000	Arrears:	☐ SSI Recipient:
Appraisal No:		Date Last Phy Insp:	00/00/0000
Tax Code:			

Run RPS440 Edits: ☒ Major Type: C

Total 1 Roll Years:				
Roll Yr	Prop Class	Roll Section	Owner Code	Tax Code
2014	Vac w/imprv	Taxable	Condo	

DANIEL P. MCCOY
COUNTY EXECUTIVE



SHAWN A. THELEN
COMMISSIONER

COUNTY OF ALBANY
DEPARTMENT OF MANAGEMENT AND BUDGET
112 STATE STREET, SUITE 1200
ALBANY, NEW YORK 12207
OFFICE: (518) 447-5525
FAX: (518) 447-5589
www.albanycounty.com

M. DAVID REILLY
DEPUTY COMMISSIONER

September 28, 2020

Honorable Andrew Joyce
Chair, Albany County Legislature
112 State St., Rm. 710
Albany, NY 12207

Dear Chairman Joyce:

Legislative approval is requested to rescind the authorization to transfer tax foreclosed property located in the Town of Colonie, 19 Canal Street to the Albany County Land Bank Corporation and convey this property to an abutting property owner.

The Albany County Land Bank Corporation has indicated that they are not opposed to a direct transfer of this property by the County of Albany.

This transfer is in accordance with Resolution No. 29 of 2019 which states "Properties which will be discretionally conveyed by the County to individuals or entities who own abutting or adjacent parcels".

If you have any questions regarding this request I can make myself available at your earliest convenience. Thank you for your consideration.

Sincerely Yours,

Shawn A. Thelen

cc:
Hon. Dennis Feeney, Majority Leader
Hon. Frank Mauriello, Minority Leader
Majority Counsel
Minority Counsel



Legislation Text

File #: TMP-1947, **Version:** 1

REQUEST FOR LEGISLATIVE ACTION

Description (e.g., Contract Authorization for Information Services):

Requesting Legislative Action to rescind the authorization to convey tax foreclosed property to the Albany County Land Bank Corporation and convey property to an abutting property owner

Requesting Legislative Authority to rescind the authorization to convey tax foreclosed property located in the Town of Colonie, 19 Canal Street (Tax Map No. 32.8-4-1) to the Albany County Land Bank Corporation and convey this property to abutting property owner Mr. Nicholas Tommasini.

Date:	September 28, 2020
Submitted By:	Shawn Thelen
Department:	Management and Budget
Title:	Commisioner
Phone:	518-447-7040
Department Rep.	Anthony DiLella
Attending Meeting:	David Reilly/Michael Mc Laughlin

Purpose of Request:

- ☐ Adopting of Local Law
- ☐ Amendment of Prior Legislation
- ☐ Approval/Adoption of Plan/Procedure
- ☐ Bond Approval
- ☐ Budget Amendment
- ☐ Contract Authorization
- ☐ Countywide Services
- ☐ Environmental Impact/SEQR
- ☐ Home Rule Request
- ☒ Property Conveyance
- ☐ Other: (state if not listed) Click or tap here to enter text.

CONCERNING BUDGET AMENDMENTS

Increase/decrease category (choose all that apply):

- ☐ Contractual
- ☐ Equipment
- ☐ Fringe
- ☐ Personnel
- ☐ Personnel Non-Individual
- ☐ Revenue

Increase Account/Line No.: Click or tap here to enter text.

Source of Funds: Click or tap here to enter text.

Title Change: Click or tap here to enter text.

CONCERNING CONTRACT AUTHORIZATIONS

Type of Contract:

- ☐ Change Order/Contract Amendment
- ☐ Purchase (Equipment/Supplies)
- ☐ Lease (Equipment/Supplies)
- ☐ Requirements
- ☐ Professional Services
- ☐ Education/Training
- ☐ Grant

Choose an item.

Submission Date Deadline Click or tap to enter a date.

- ☐ Settlement of a Claim
- ☐ Release of Liability
- ☐ Other: (state if not listed) Click or tap here to enter text.

Contract Terms/Conditions:

Party (Name/address):
Click or tap here to enter text.

Additional Parties (Names/addresses):
Click or tap here to enter text.

Amount/Raise Schedule/Fee: Click or tap here to enter text.

Scope of Services: Click or tap here to enter text.

Bond Res. No.: Click or tap here to enter text.

Date of Adoption: Click or tap here to enter text.

CONCERNING ALL REQUESTS

Mandated Program/Service: Yes ☐ No ☐
If Mandated Cite Authority: Click or tap here to enter text.

Is there a Fiscal Impact: Yes ☐ No ☐
Anticipated in Current Budget: Yes ☐ No ☐

County Budget Accounts:

Revenue Account and Line: Click or tap here to enter text.
Revenue Amount: Click or tap here to enter text.

Appropriation Account and Line: Click or tap here to enter text.
Appropriation Amount: Click or tap here to enter text.

Source of Funding - (Percentages)

Federal: Click or tap here to enter text.
State: Click or tap here to enter text.
County: Click or tap here to enter text.
Local: Click or tap here to enter text.

Term

Term: (Start and end date) Click or tap here to enter text.
Length of Contract: Click or tap here to enter text.

Impact on Pending Litigation

Yes ☐ No ☐
If yes, explain: Click or tap here to enter text.

Previous requests for Identical or Similar Action:

Resolution/Law Number: Resolution No 272
Date of Adoption: August 10, 2020

Justification: (state briefly why legislative action is requested)

Requesting Legislative Authority to rescind the authorization to convey tax foreclosed property located in the Town of Colonie, 19 Canal Street (Tax Map No. 32.8-4-1) to the Albany County Land Bank Corporation per ABL Res No.69 of 2020 and convey this property to abutting property owner, Mr. Nicholas Tommasini, 2 Hilltop Drive, Cohoes, NY 12047 for \$400.00.

19 Canal Street is bordered by the lands of Niagara Mohawk and NYS Route 787 which makes this property of no economic value for the County of Albany.

As per the attached Purchaser Review, Mr. Tommasini has no outstanding code violations and does not owe any delinquent taxes on his properties.

This transfer is in accordance with Resolution No. 29 of 2019 which states "Properties which will be discretionally conveyed by the County to individuals or entities who own abutting or adjacent parcels ".

The following will be part of the sale of this property and is requested to be stated in the resolution of sale:

Mr. Nicholas Tommasini shall be subject to:

At the closing: All closings costs. A prorated share of the 2020-21 Albany School Taxes

After the closing: All taxes, water, sewer and other charges billed on and after January 1, 2021 shall be the responsibility of Nicholas Tommasini.

Nicholas Tommasini
2 Hilltop Drive
Cohoes NY 12047
Ntom1271@gmail.com
518-268-8366

February 28, 2020

Daniel P. McCoy
Albany County Executive
Office of The County Executive
112 State Street, Room 1200
Albany, NY 12207

Dear Mr. McCoy,

I am writing this letter to show interest in purchasing a recent tax foreclosed property located at 19 Canal Street Tax ID 32.8-4-1 found within the Town of Colonie. The vacant parcel is the last lot located on Canal Street and is adjacent to my recently purchased property located at 17 Canal Street.

Based on existing conditions and its current tax assessment of \$400.00, I would be willing to purchase the parcel for the full amount of \$400.00 if this letter of intent meets the needs of Albany County.

This letter is not an official offer, but I hope your consideration will result in a formal purchase agreement that will further define any additional details to acquire this parcel. My contact information is listed above for all future correspondence. I look forward to favorable response.

Best Regards,

A handwritten signature in black ink, appearing to read 'Nicholas Tommasini', written over a light gray rectangular background.

Nicholas Tommasini





DEPARTMENT OF MANGEMENT AND BUDGET

Purchaser Review

PROPERTY INFORMATION

Municipality - Colonie

Address of Property -19 Canal Street

Tax Map Number-32.8-4-1

Property Description-Residential Vacant Land

BIDDER NAME AND PROPERTIES OWNED BY BIDDER

Purchaser-Nicholas Tommasini

Town of Colonie-13 Canal Street and 17 Canal Street

City of Cohoes-2 Hilltop Drive

—

CODE ENFORCEMENT INFORMATION

No outstanding violations-Verified with Town of Colonie Code Enforcement officer 9/16/2020

No outstanding violations-Verified with City of Cohoes Code Enforcement officer 9/16/2020

DELINQUENT TAX INFORMATION

No delinquent taxes-Verified with Albany County Tax Records Supervisor 9/15/2020

COUNTY FORECLOSURE INFORMATION

Not Applicable as properties were never delinquent

Signed-----

ANTHONY DILELLA

Property Manager

DATE—September 16, 2020

07/09/2020 11:05 |TEST DATABASE Jul 16 2019 |P
1
cmurray |Real Estate Tax Statement
|txtaxstm

PARCEL: 03200800040010000000

LOCATION: 19 CANAL ST

OWNER:
APROIAN SUZANNE
2,178
VALOZE FAMILY TRUST
400
11 CANAL ST
0
WATERVLIET NY 12189
0

STATUS:
SQUARE FEET:
LAND VALUATION:
BUILDING VALUATION:
EXEMPTIONS:

400

37.98

LEGAL DESCRIPTION:

TAXABLE VALUATION:

INTEREST PER DIEM

DEED DATE: BOOK/PAGE: INTEREST DATE:
07/31/2020

YEAR	TYPE	BILL	BILLED	PRIN DUE	INT DUE

2020	RE-5	1234			
1	COLONIE TO		17.58	17.58	1.05

18.63					

			17.58	17.58	1.05

18.63					
2019	RE-5	1050			
1	COLONIE TO		17.17	17.17	3.09

20.26					

			17.17	17.17	3.09

20.26					
2018	RE-5	1197			

1 COLONIE TO	16.84	16.84	5.05
21.89			
MAILING CH	1.00	1.00	.00
1.00			

	17.84	17.84	5.05
22.89			

	17.84	17.84	5.05
22.89			
2017 LIEN	489		
1 COLONIE TL	17.73	17.73	7.45
25.18			

	17.73	17.73	7.45
25.18			
2016 LIEN	222		
1 COLONIE TL	16.63	16.63	8.98
25.61			

	16.63	16.63	8.98
25.61			
2014 LIEN	291		
1 COLONIE TL	16.12	16.12	12.57
28.69			
TITLE SEAR	290.00	290.00	.00
290.00			

	306.12	306.12	12.57
318.69			

07/09/2020 11:05	TEST DATABASE Jul 16 2019	P
2		
cmurray	Real Estate Tax Statement	
txtaxstm		

YEAR TYPE	BILL			
INST CHARGE		BILLED	PRIN DUE	INT DUE
TOTAL DUE				

GRAND TOTALS		393.07	393.07	38.19
431.26				

PARTIAL PAYMENTS ARE NOT ACCEPTED WITHOUT AN INSTALLMENT AGREEMENT
IF ANY PARCEL REMAINS SUBJECT TO ONE OR MORE DELINQUENT TAX LIENS,
THE PAYMENT YOU HAVE MADE WILL NOT POSTPONE THE ENFORCEMENT OF THE
OUTSTANDING LIEN OR LIENS. CONTINUED FAILURE TO PAY THE ENTIRE
AMOUNT OWED WILL RESULT IN THE LOSS OF THE PROPERTY(IES).
PAYMENT MADE TO:

ALBANY COUNTY DIVISION OF FINANCE
112 STATE ST. ROOM 1340
ALBANY, NY 12207
TEL: 447-7082

\$35.00 WILL BE CHARGED FOR ANY RETURNED CHECK
INTEREST WILL INCREASE ON THE 1ST OF THE MONTH

September 24, 2020

Board of Directors

Charles Touhey, Chair
Touhey Associates

David Traynham, Vice Chair
Founder, ALERT Partnership Inc

Natisha M. Alexander, Treasurer
Resident

Samuel Wells, Secretary
Resident

Jeffery Collett
Business Owner

Todd Curley
The Prime Companies

Chris Spencer
City of Albany

Executive Director

Adam Zaranko

Mike McLaughlin
Director of Policy and Research
Office of the Albany County Executive
112 State Street, Room 1200
Albany, NY 12207

Re: 19 Canal Street, Colonie NY 12189 (Tax Map No. 32.8-

4-1) Mr. McLaughlin,

Albany County has authorized the transfer of the subject property to the Albany County Land Bank ("Land Bank").

It is our understanding that Albany County has received a request for a direct acquisition from an adjacent property owner.

The Albany County Land Bank does not object to a direct disposition of the subject property by Albany County.

Sincerely,



Adam Zaranko
Executive Director