

City of Batavia, NY

Proposed Budget

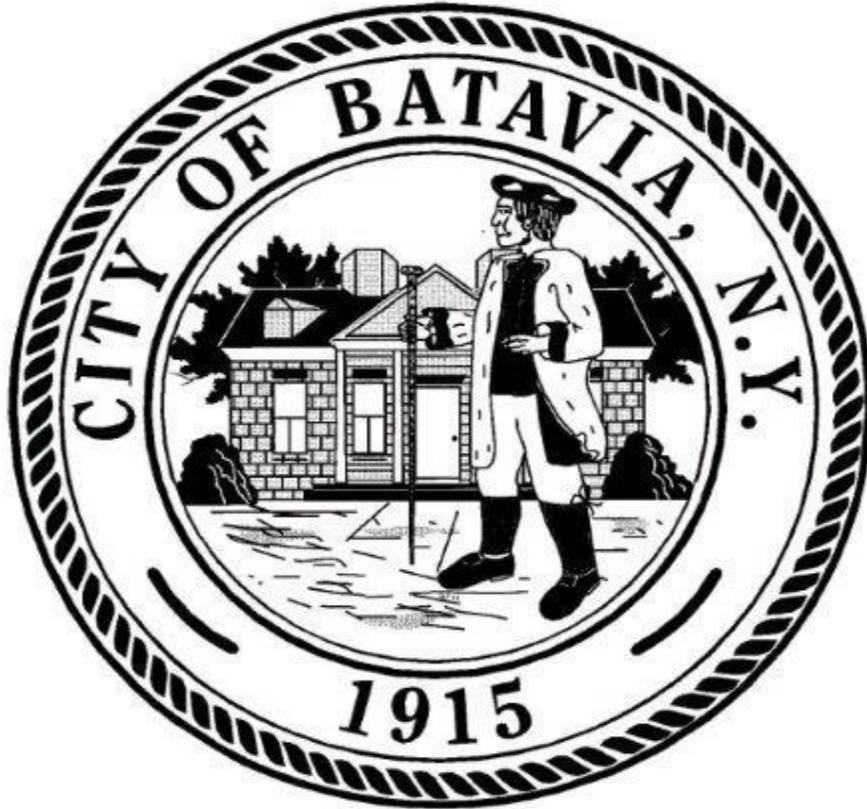
Fiscal Year 2016/2017



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SECTION I

INTRODUCTORY INFORMATION



GFOA Distinguished Budget Award



The Government Finance Officers Association of the United States and Canada (GFOA) presented an award for Distinguished Budget Presentation to the City of Batavia for its annual budget for the fiscal year beginning April 1, 2015.

In order to receive the award, a governmental unit must publish a budget document that meets program criteria as a policy document, as an operation guide as a financial plan, and as a communication device. The award is valid for a period of one year only. We believe our budget document will continue to conform to program requirements, and we are submitting the proposed budget to GFOA to determine its eligibility for another award.

Vision, Mission and Guiding Principles

Vision

We consider our community to include its citizens, its business owners and employees and all those with whom we interact.

- We will continuously build upon our rich entrepreneurial history providing an infrastructure and support for businesses of all types to grow and flourish
- We will lead and facilitate collaborative partnerships that support and enhance our vision and mission.
- We will encourage and provide opportunities for the physical, mental, emotional and cultural learning and enrichment for all community members at every life stage.
- Our community members will be actively involved in the decisions we make and active in bringing our plans to life.
- Our thriving downtown will serve as a focal point, bringing community members together to engage in numerous and diverse activities.
- Our community members will enjoy the feeling of safety as they live, work and interact in our City.
- Our children, at all ages, will have choices to grow, learn, live, play and work in our community.
- We will continuously promote a healthy and active lifestyle for all individuals in ways that bring our community together.
- We will be careful stewards of our environment recognizing its limited resources and continuously striving towards sustainability.
- We will proactively consider our financial picture and how we might best use our finances to help us achieve our mission.
- Our City will serve as a model for other small cities in its approach to an overall positive quality of life for all its community members.

Mission

Our mission is to create and sustain a vibrant, affordable, safe community where people choose to live and work and where, through a supportive environment, businesses continually flourish.

Guiding Principles

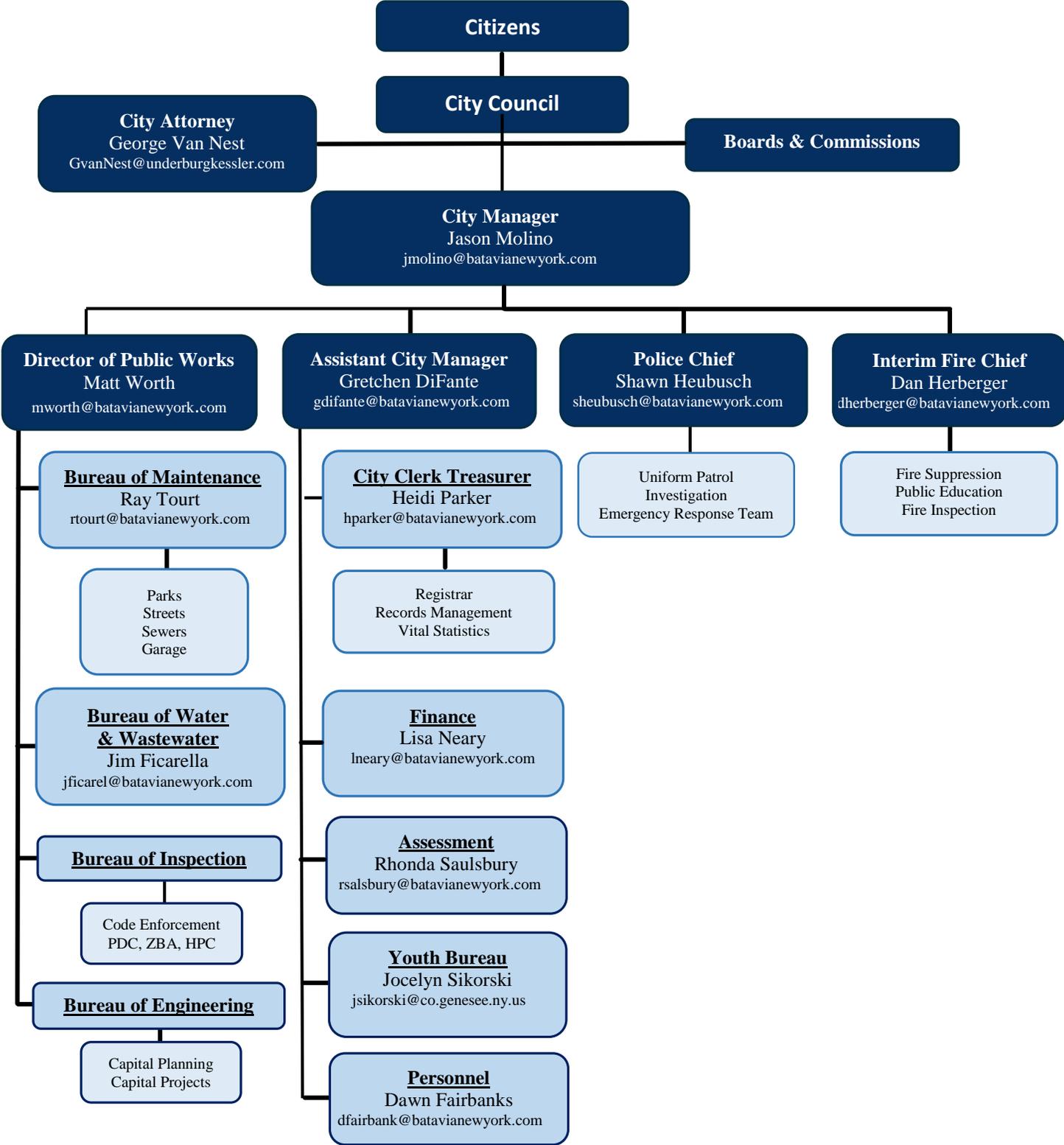
The City of Batavia expects and encourages its leaders and employees to be guided by the following principles:

- Balance short-term needs with long-term vision for what is in the best interests of residents.
- Commit to making Batavia the best place in New York State to live and work, and to leave a legacy of a better quality of life in Batavia for our children.
- Focus on continuous improvement in meeting the needs of our customers.
- Take well-reasoned risks in deciding how best to deliver high quality, cost effective services.
- Encourage sustainable growth through innovative and cooperative economic development.
- Believe that the best decisions are made through teamwork and mutual respect among Council, staff and citizenry.
- Be accountable and responsive to citizens.
- Act with the highest standards of professionalism, with unwavering integrity and ethics.

Adherence to these principles will:

- ✓ Create an atmosphere in which citizens feel safe, secure and confident in City governmental operations.
- ✓ Promote a positive public image.
- ✓ Provide for procedural controls over City resources.
- ✓ Provide information to support decisions.

CITY ORGANIZATIONAL CHART



OFFICERS AND OFFICIALS



CITY COUNCIL

Eugene Jankowski, Jr. - Council Person-At-large, President of the Council

Adam Tabelski – Council Person-At-Large

Brooks Hawley – Council Person-At- Large

Paul Viele- First ward, President Pro Tempore

Patti Pacino – Second ward

John Canale - Third Ward

Al McGinnis - Fourth Ward

Kathy Briggs – Fifth Ward

Rose Mary Christian – Sixth Ward

ADMINISTRATIVE STAFF

Jason Molino - City Manager

Gretchen DiFante - Assistant City Manager

Dawn Fairbanks - Bureau of Personnel

Jim Ficarella - Superintendent of Water & Wastewater

Dan Herberger – Interim Fire Chief

Shawn Heubusch - Police Chief

Lisa Neary - Deputy Director of Finance

Heidi Parker - City Clerk/Treasurer

Rhonda Saulsbury - City Assessor

Jocelyn Sikorski – Executive Director, Genesee County/City Youth Bureau

Ray Tourt - Superintendent of Maintenance

George Van Nest – City Attorney

Matt Worth - Director of Public Works

Robb Yaeger - Assistant Chief of Police

BUDGET SNAPSHOT

	Budget 15/16	Proposed 16/17	17/18	Projected 18/19	19/20
REVENUES:					
General Fund	(15,848,884.00)	(15,848,884.00)	(16,304,570.00)	(15,464,029.15)	(15,945,085.24)
Water Fund	(4,822,686.00)	(4,822,686.00)	(5,275,520.00)	(4,722,721.42)	(4,842,420.07)
Wastewater Fund	(2,584,679.00)	(2,584,679.00)	(3,218,068.00)	(2,620,502.02)	(2,619,523.51)
TOTAL REVENUES	(23,256,249.00)	(23,256,249.00)	(24,798,158.00)	(22,807,252.59)	(23,407,028.82)
EXPENSES:					
General Fund					
General government services	2,051,834.00	1,938,075.00	1,833,917.05	1,982,428.83	2,023,904.36
Administrative services	1,681,202.00	1,602,037.00	1,628,766.15	1,670,342.09	1,713,233.00
Police	3,985,690.00	4,018,010.00	4,104,987.35	4,214,508.13	4,326,958.82
Fire	3,850,160.00	3,896,092.00	3,967,902.40	4,074,137.67	4,183,222.35
Public Works	4,236,058.00	4,850,356.00	3,928,456.20	4,003,668.52	4,088,958.78
Total General Fund	15,804,944.00	16,304,570.00	15,464,029.15	15,945,085.24	16,336,277.32
Water Fund	4,821,736.00	5,275,520.00	4,598,923.71	4,640,178.85	4,681,389.19
Wastewater Fund	2,583,889.00	3,218,068.00	2,621,172.68	2,605,807.84	2,632,336.94
TOTAL EXPENSES	23,210,569.00	24,798,158.00	22,684,125.53	23,191,071.93	23,650,003.45

BUDGET MESSAGE

January 15, 2016

In the mid 1990's, City leadership made the decision to take action on community and economic development. Several efforts were begun and a Downtown Development Committee along with a Community Development Department were formed, and the County's Industrial Development Agency became more active. While the efforts of those organizations led to some successful development, over the next decade, the City would find itself in a dire financial situation forcing City leaders to maintain a laser focus on recovery. Economic development efforts grinded to a halt, the City's Community Development department was cut as the City focused on measures for survival. The City, like many organizations that choose to temper investment efforts in favor of cost-cutting measures, was unable to have comprehensive and consistent resources to impact growth. As a result, we saw property values within the City stagnant while those values in surrounding communities showed growth. Meanwhile, poverty has risen in the City. In summary, the City greatly reduced and in some cases eliminated the dollars, people and time devoted to growth initiatives.

Over the last five years, as the financial picture showed slow signs of improvement, the City has moderately re-focused on growth, mainly through joint efforts with the Batavia Development Corporation (BDC). While there has been some progress in economic development, there needs to be a shift in our City leadership to an "all-in" unabashed support of growth and prosperity.

As the budget outlines, in order to sustain local government, we must transfer our focus from trimming and cutting costs to a long-term vision and plan for revenue generation. While this by no means suggests that City departments stop driving towards maximum efficiencies and operational excellence: in fact, strengthening services is a critical component of our success. We also need to spend time and resources on selling and marketing our community to investors, businesses and people.

Today, the City finds itself in the middle of a unique window of opportunity. The City's largest employer, United Memorial Medical Center, realized a \$20 million expansion of its surgical wing and after forming a regional partnership with Rochester Regional Health is embarking on a new \$6.5 million cancer center. Our three largest manufacturing companies have invested more than \$25 million in people, technology and facilities just over the past three years, and the Genesee County Economic Development Center announced its first occupant to its STAMP project, which is bringing 1,000 new jobs to the county with over a \$700 million investment. There is a regional resurgence of wealth creation and job development, and we are well-poised to lead and infuse that energy into the rebirth of our own City.

We need to become a community where employers don't think twice when considering expansion. Our government services must strive for excellence and foster cooperation. It's imperative our organizational culture and physical assets reflect immense pride in our City. We need to become a community where people of all ages truly enjoy life. Our vision is simple, to make Batavia the community of choice, in which the quality of life is unmatched and opportunity is around every corner.

EXECUTIVE SUMMARY

Pursuant to the City Charter, this document is written to present the *City Manager's Fiscal Year 2016/2017 Budget Recommendation*. The adoption of the budget is the most significant action taken by the City Council each year. It authorizes the allocation of resources and establishes priorities and direction for City services and programs for the upcoming year. This budget is fiscally balanced, with no use of one-time revenues to fund on-going operations. The funding priorities outlined in this budget are consistent with the goals and objectives established by City Council in the City's Strategic Plan. Fiscal accountability is achieved by the development of the annual budget and multi-year financial plans.

BUDGET OVERVIEW

Given significant budgetary challenges in the midst of an economic recession, fundamental changes in our approach to budgeting, managing resources and controlling costs have reshaped the City's financial position. Today the City enjoys an improved bond rating of A1. This rating, awarded in 2012, was a significant accomplishment considering the City experienced a bond downgrade only seven years prior in 2005. In October 2015 Batavia became the third City in New York State to achieve the Government Finance Officers Association of the United States and Canada (GFOA) Distinguished Budget Presentation Award for our budget. The award represents a significant achievement by the City and reflects the commitment of the City Council and staff to meeting the highest principles of governmental budgeting. As a result of strategic budgeting and conservative financial decisions, as of March 31, 2015, the City's total fund balance was just over \$7 million, providing strong financial reserves and solid footing to make the necessary capital investments for a recovering economy.

The FY17 budget is balanced and totals \$24,798,158 for all funds, with the City's general fund totaling \$16,304,570. This total reflects an increase of \$499,806 in the general fund spending plan over the prior year, however, this is entirely due to increased capital reserve and CHIPs expenditures. When comparing the proposed budget to the prior year's budget without capital reserve or CHIPs expenditures, the operational budget is approximately \$34,312 smaller. As explained in the following budget message, revenue constraints have warranted a \$.13 tax rate increase to \$9.29 per \$1,000 assessed value, to support an increase in the tax levy of \$55,621 or 1.10%. The impact on an average assessed home of \$90,000 is \$12 per year or \$1 per month.

Similar to the current fiscal year, constrained revenues continue to make budgeting challenging, and require the City to restrain from doing additional infrastructure improvements, such as street resurfacing and sidewalks replacements, as well as cutting back on reserve contributions which are critical to fund future capital projects.

The City's FY17 budget is a balanced plan with a modest tax levy increase which stays below the New York State tax cap. This will qualify most taxpayers for a tax rebate on their New York State taxes. Meeting the State's tax cap restrictions has been a challenge, but by instituting tight controls on costs and improved efficiencies, the plan further complements the City's efforts to provide City residents with the services they deserve.

STATE OF THE ECONOMY

Positives. Over the past 10 years, the City has managed to replace nearly \$3 million of antiquated equipment, grow fund balance by over \$8 million, and develop and implement a \$22 million water and sewer capital plan. In addition, the City's strategic and capital planning has been recognized across the State and the Country. Despite the City's financial fallout in 2006 and the Great Recession shortly thereafter, passionate past City Council's and City staff persevered in their commitment to providing the citizenry the best possible service. Their dedicated efforts helped the City establish its identity as good stewards of public resources, engendering a sense of public trust and confidence.

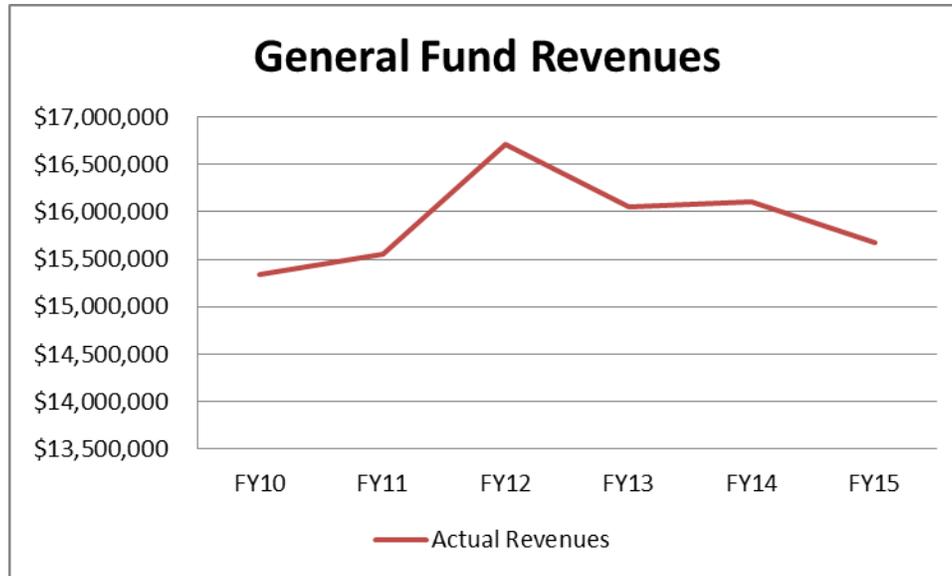
In 2015 the local economy showed signs of moderate growth with lower than average unemployment rates and improved housing sales. According to the New York State Department of Labor, Genesee County's unemployment fell from 4.6% to 4.2% from October 2014 to October 2015, and continues to remain below the New York State's unemployment rate of 4.8% and the Nation's of 5.0%. This was also coupled with New York State's private sector job count hitting an all-time high. Generally speaking low unemployment rates are positive indicators of economic performance for the region, and declining unemployment is a sign that the economy is growing.

In addition, the housing market has shown optimistic signs that homeownership is on the rise. The year 2015 had a total of 122 single family home sales which was a significant increase over 80 sales in 2013.

Negatives. Another influencing factor in the local economy that impacts the City's budget is retail gas prices. Retail gas prices make up approximately 18-20% of the City's sales tax receipts. Sales tax is the City's largest general fund revenue equaling about 39% of City's general fund revenue. Since mid-2014 retail gas prices have plummeted to pre-2009 levels. As a result, the City (and the county) has experienced a slowdown in sales tax growth over the past several quarters. Anticipating this slow down, the City budgeted for lower growth in sales tax for the current year (2015/16). Unfortunately, retail gas projections into 2016 are expected to trend downward. As of November 25, 2015 the U.S. Energy Information Administration projected record low retail gas prices in 2016. The U.S. gasoline retail price, which averaged \$3.36/gal in 2014, was projected to average \$2.43/gal in 2015 and \$2.33/gal in 2016. When considering the forecast of declining retail gas sales, the current year's sales tax receipts are at risk of not making budget.

Up until 2013 the City had enjoyed a 4-6% annual growth in sales tax. Many other factors contributed to that steady growth, such as the construction of two yogurt plants in the county, the expansion and in-fill of large retailers in the town and growing retail gas prices. In contrast, when average retail gas prices declined more than 30% in 12 months, the City's largest revenue source has been negatively impacted.

In addition to sales tax challenges, revenue growth in the general fund has diminished. Budgeting has become increasingly more challenging, as greater downward pressure is placed on maintaining level expenditures despite rising costs due to unfunded mandates and needed capital expenditures. The chart below shows general fund revenues leveling off over the past several years.



Refined further, the chart below illustrates year end revenue receipts of several large revenues since fiscal year ending in 2012. These revenues account for approximately 44% of the City general fund revenue. The chart below demonstrates that collectively, growth in these revenues has been shrinking over the past three years. This chart furthermore reveals a near halt in revenue growth by the end of this fiscal year. It should be noted the current year projection assumes sales tax receipts will fall short (\$30,000) of budget.

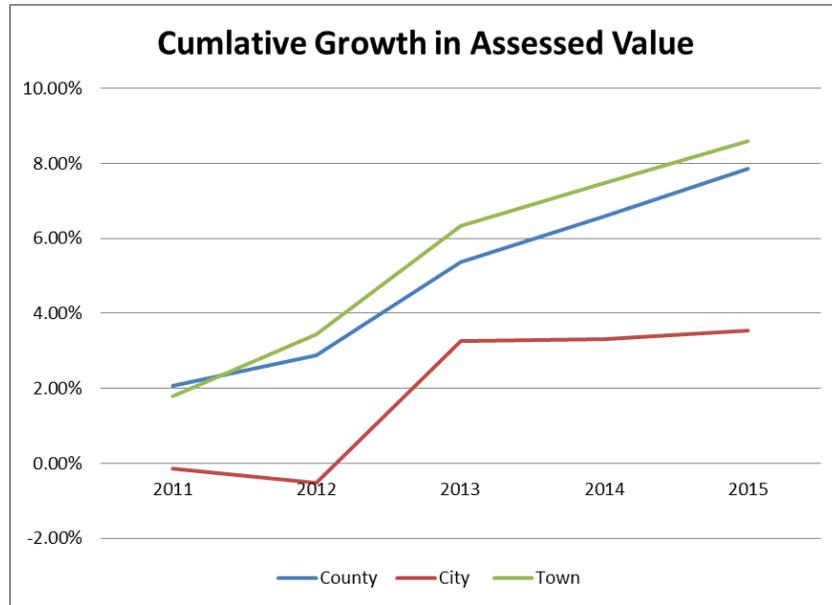
<u>Year End Revenue</u>	<u>FY12</u>	<u>FY13</u>	<u>FY14</u>	<u>FY15</u>	<u>2015/16</u> <i>(projection)</i>
Payment In Lieu of Taxes	\$ 88,547	\$ 82,822	\$ 56,722	\$ 61,033	\$ 63,346
Sales & Use Tax	\$ 5,713,793	\$ 5,935,774	\$ 6,014,171	\$ 6,082,042	\$ 6,110,000
Utilities Gross Receipts	\$ 258,128	\$ 208,725	\$ 214,491	\$ 225,304	\$ 220,000
Cable Franchise	\$ 218,515	\$ 210,307	\$ 197,612	\$ 182,401	\$ 165,000
Fines/Forfeiture/Parking	\$ 174,860	\$ 142,216	\$ 135,450	\$ 156,794	\$ 160,000
Mortgage Tax	\$ 101,097	\$ 100,776	\$ 140,759	\$ 113,830	\$ 143,344
Total	\$ 6,554,940	\$ 6,680,620	\$ 6,759,205	\$ 6,821,403	\$ 6,861,690
Annual Revenue Growth		1.9%	1.2%	0.9%	0.59%

When estimating revenues for next year compared to prior years' adopted budgets, for the first time since 2009 the City may experience a collective decrease in major general fund revenues.

Adopted Budget	<u>2011/12</u>	<u>2012/13</u>	<u>2013/14</u>	<u>2014/15</u>	<u>2015/16</u>	<u>2016/17</u> <i>(proposed)</i>
Payment In Lieu of Taxes	\$ 86,500	\$ 88,000	\$ 60,900	\$ 61,730	\$ 64,590	\$ 52,265
Sales & Use Tax	\$ 5,109,689	\$ 5,500,000	\$ 5,770,000	\$ 6,045,000	\$ 6,150,000	\$ 6,130,000
Utilities Gross Receipts	\$ 230,000	\$ 245,000	\$ 240,000	\$ 240,000	\$ 210,000	\$ 220,000
Cable Franchise	\$ 175,000	\$ 190,000	\$ 203,000	\$ 210,000	\$ 210,000	\$ 165,000
Fines & Forfeiture						
Bail	\$ -	\$ 35,000	\$ 156,000	\$ 150,000	\$ 108,108	\$ 125,000
Parking Ticket Fees	\$ 195,000	\$ 156,244	\$ 35,000	\$ 36,624	\$ 35,000	\$ 35,000
Mortgage Tax	\$ 115,000	\$ 105,000	\$ 100,000	\$ 105,000	\$ 105,000	\$ 115,000
	\$ 5,911,189	\$ 6,319,244	\$ 6,564,900	\$ 6,848,354	\$ 6,882,698	\$ 6,842,265
Annual Revenue Growth		6.90%	3.89%	4.32%	0.50%	-0.59%

It should be further noted that from 2011/2012 to 2014/2015 actual revenue exceeded budget. This difference allowed the City to generate surpluses in those years and contribute additional revenue to reserve funds for infrastructure improvements, equipment replacements and building fund balance. With the uncertainty of sales tax receipts for the current year (2015/2016) it is possible that the above revenues collectively will not meet budget. ***Because sales tax has a significant impact on the general fund, a conservative approach is recommended with budgeting and sales tax in the proposed budget. This marks the first time in eight years (since 2008/2009) that sales tax has been proposed to decrease over the prior year.***

Taxable Assessed Value Decline. The City has enjoyed an average growth of 1.5% in its tax base annually, however, since 2010 the City's taxable assessed value has been less than 1% annually. As the housing market continues to show slow signs of recovery, the City should expect similar trends over the next several years. In addition, with the adoption of the property tax cap without relief from State mandated expenses, the City's ability to levy the necessary funds to support services are significantly hampered. Considering taxable assessed value is the City's most stable source of revenue, the City needs to make improving the City's tax base, particularly the non-residential tax base, a priority and encourage future commercial and industrial redevelopment, specifically Brownfield Redevelopment, throughout the City's Central Corridor.



As mentioned in the Budget Message, growth in the City has been lagging the surrounding area. The above chart illustrates the lack in City taxable assessed value growth when compared in Genesee County and the Town of Batavia. **Both of which have had robust focuses on economic development over the past 5 years, and as a result the cumulative growth in taxable assessed value growth has been more than double the City's since 2010.**

For obvious reasons, a decrease in general fund revenues creates challenges in developing the City's budget.

There is some expenditure relief expected, as NYS retirement rates have dropped over the prior year and health insurance premiums have stayed relatively the same. In addition, electricity and natural gas rates are expected to stay flat or drop slightly, and the City fleet may experience a slight decrease in gasoline/diesel expenditures. However, generally speaking, the latter of these expenditures do not have a significant impact on the general fund.

While both low unemployment and rising housing sales are positive signs that the economy is strengthening and are good indicators that future growth is forthcoming, there is still much more work to be done to improve household incomes and assessed values in the City. **Building tax base is imperative to supporting and maintaining valuable City services at reasonable costs.**

A balanced approach to the City budget needs to include strong initiatives that will provide cost containment but also strategic direction that will improve quality of life. Growth in tax base and resident income are the lifeblood to supporting municipal services, as well as improved quality of life for City residents.

BUDGET HISTORY & PROJECTIONS

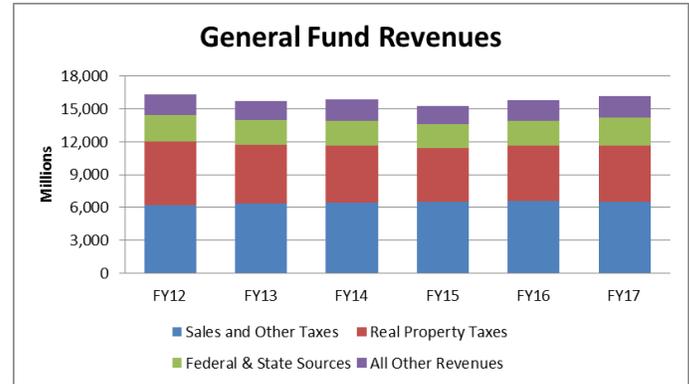
General Fund. Excluding capital reserve and CHIPs expenditures, the FY17 General Fund budget reflects a decrease of \$34,312 in operations in comparison to the FY16 adopted budget. This is primarily in response to a decrease in several notable revenues, as well as an expected halt in growth in the fund's largest revenue, sales tax. Because of these revenue changes it is proposed that the general fund tax levy be adjusted by 1.10% percent, generating an additional \$55,621 of needed property taxes to support service levels and balance the budget.

The General Fund maintains a minimum unassigned fund balance of \$1.28 million or 7.8% of the estimated expenditure budget. This amount is just under the City's goal of 10% unassigned fund balance as stated in the adopted fund balance policy.

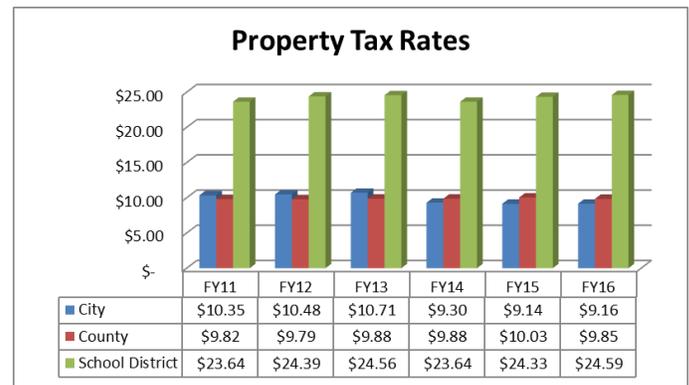
****The graphs used for General Fund Revenues and Expenses show actual expenses for FY12, FY13, FY14 and FY15. FY16 reflects the adopted budget figures, and FY17 reflects the proposed budget figures.****

General Fund: Revenues

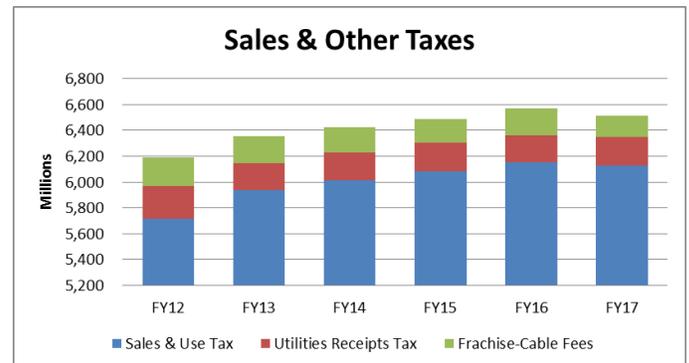
The General Fund revenues include property tax, sales tax, State aid and other revenues. **The property tax remains the most stable source of revenue in our community.** As mentioned in the budget message, other revenue sources, such as sales tax, are subject to the uncertainty of economic conditions.



Property Tax Rate Comparisons. The property tax rate proposed for the City of Batavia for FY17 is \$9.29 per \$1,000 assessed value. Compared to the \$9.16 in FY16, this accounts for a \$55,621 increase in the tax levy. When compared to the Genesee County and Batavia City School District tax rates the City of Batavia is the **lowest** tax rate of all taxing jurisdictions. Also, the City is the **only** taxing jurisdiction whose tax rate has decreased considerably over the last several years.



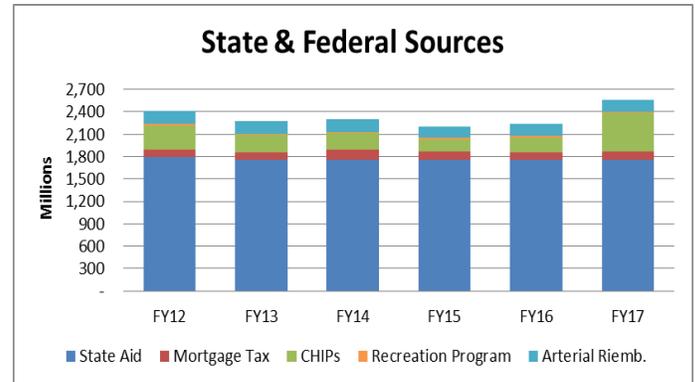
Sales Tax & Other Taxes. Sales tax is the City’s largest single revenue source, contributing 37.7% of the total revenue for General Fund operations. Sales tax generated throughout Genesee County is redistributed to the City pursuant to the Sales Tax Distribution Agreement. This year’s sales tax includes a .33% decrease over FY16 budget year. This the first year since 2008 the proposed budget recommends a decrease in sales tax. In comparison, the average annual increase in sales tax over the past five years has been 2.8%. Combined with franchise cable revenue and utilities gross receipts, they contribute to over 40.1% of General Fund revenues. It should be



noted that due to the decrease in sales tax revenue, these revenues now represent a smaller portion of total general fund revenues than in prior years.

State and Federal Sources. State aid, grants and federal grants make up 15.8% of the total General Fund revenues for the City. This area includes State aid, CHIPs (Consolidated Highway Improvement Program), mortgage tax, recreation program and NYS Arterial Reimbursement. In Batavia, State aid is the bulk of this revenue at \$1.75 million for FY17. While other sources within this revenue fluctuate depending on each individual program, State aid has remained flat for the past three years, and is not expected to change in the upcoming year. It should be noted that this year’s CHIPs allocation is considerably higher than in prior years as the budget includes additional sidewalk work along

improved roadways. Because the City’s Sidewalk Replacement Reserve Fund is nearly diminished CHIPs aid will be utilized to complete the necessary sidewalk work.



Other Revenues. Cable franchise fees are revenue generated from cable subscriptions with cable providers within the City. Over the past three years cable franchise revenue has decreased over 16% or \$36,000, and continues to decrease annually. This is partly due to the increase in internet use and streaming as a replacement for traditional cable programming. Because internet use is not subject to the cable franchise fees and streaming of programming is increasing, it is expected the cable franchise fees will continue to decrease in future years.

Payments in Lieu of Taxes is expected to decrease approximately 19% or \$12,000 due to several businesses completing PILOT agreements and going on the tax rolls as fully taxable. As a result there is a slight increase of over a \$1 million in taxable assessed value. This reflects a marginal .21% increase in assessed value over the prior year.

There is a 47% or \$21,500 decrease in rental of real property due to the termination of a cell tower lease agreement with a cell phone provider. The agreement provided the City with annual lease payments in exchange for cell phone radios to be placed on the City’s water tower. The termination of this agreement is a permanent reduction in this revenue line.

Inter-fund transfers from the Water Fund to the General Fund continue to decrease annually by \$25,000 as a planned part of the City’s capital infrastructure plan. While the transfer to the General Fund is authorized under the General Municipal Law § 94, the City’s capital plan calls for a reduction in the transfer over time to better assist the Water Fund in funding capital projects.

Reserve Funds. The proposed budget utilizes over \$756,730 of capital reserve funds to assist in funding capital equipment replacements, hardware and software upgrades, sidewalk improvements and facility upgrades to Falleti Arena, Dwyer Stadium and Lehigh Pump Station. The FY17 budget represents a significant, but planned use of reserve funds consistent with the City’s adopted equipment and facility capital plans. Over the past five years the City’s annual usage of reserve funds has averaged \$450,000. However, as referenced in the City’s March 31, 2015 financial statements, as the City begins to utilize

more capital reserve funds for planned expenditures, the City's total and reserved fund balance will decrease.

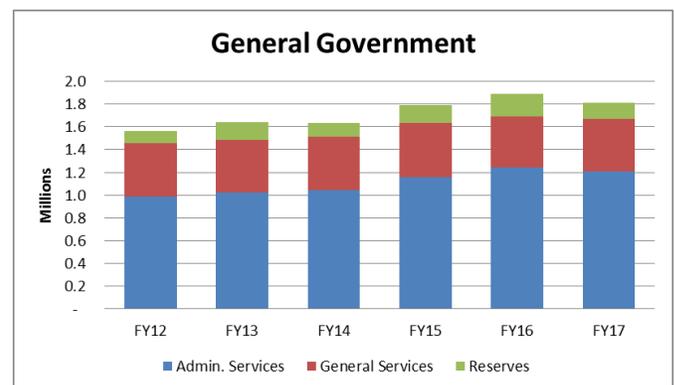
Unassigned Fund Balance. The City is fortunate that over the past several years it has turned fund balance from a deficit to a surplus. As of March 31, 2015 the City has maintained a healthy fund balance, meeting the City's goal outlined in the adopted Fund Balance Policy.

Unassigned fund balance is commonly used to balance budgets. Many times these funds are used for contingency accounts in anticipation that year end surpluses will occur and the use of fund balance will not actually be needed, barring any unforeseen change in revenues or expenses. The City has continued to achieve annual surpluses for the past eight years, most of which has been committed to the City's reserve funds. Nevertheless, use of fund balance is contingent upon regular and annual operating surpluses in order to replenish fund balance levels. The proposed budget includes \$275,000 of unassigned fund balance to balance the budget. Accordingly, should the City not achieve annual surpluses in the future, use of fund balance to balance the budget should be minimized or discontinued, and as a result, service cuts or greater property tax increases may be needed to balance future budgets.

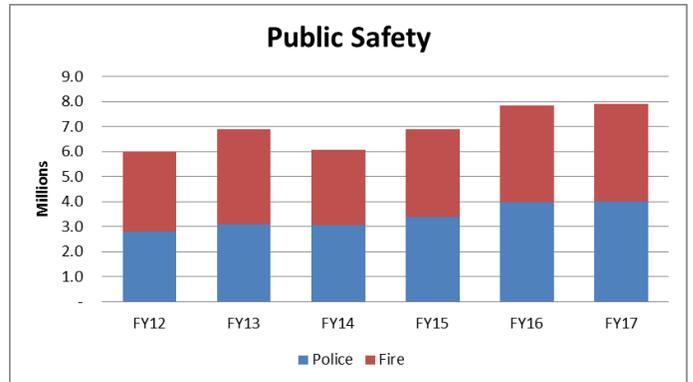
General Fund: Expenditures

The proposed budget emphasizes maintaining high quality services while balancing long-term financial stability. As mentioned earlier, sales tax is expected to decrease in the upcoming year; as a result, the proposed budget demonstrates a smaller spending plan. Also, all expenditures reflect the priorities established by the City Council in the City's Strategic Plan, as well as the City's financial policies.

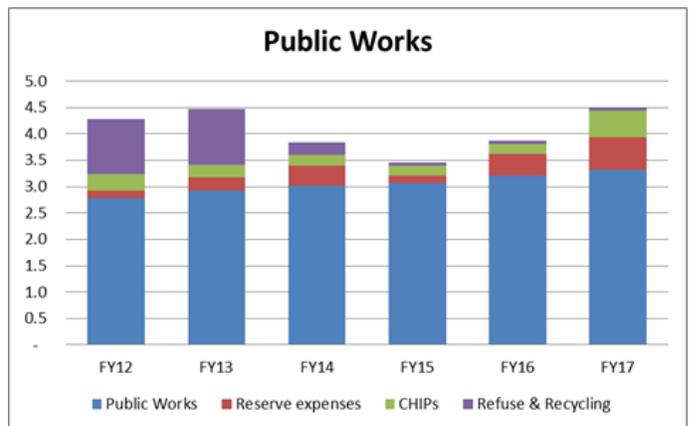
General Government Services. General Government Services include City Council, City Manager, Legal Services, Contingency, Community Development and Council on Arts. General Government also includes reserve funding and all debt. Administrative Services consists of the Department of Administrative Services, Finance, Clerk/Treasurer, Assessment, Personnel, Elections, Information Technology, Vital Statistics, Control of Dogs, Summer Recreation and Youth Services. FY17 expenditures for these functions decreased \$34,900, or 2.8%. These expenses do not include employee health insurance.



Public Safety. Total expenditures for Police and Fire Departments increased by \$78,252 or 1.00% from the prior year. Equipment purchases have been scaled back this year to minimize the increase in expenses. These expenses do not include employee health insurance.

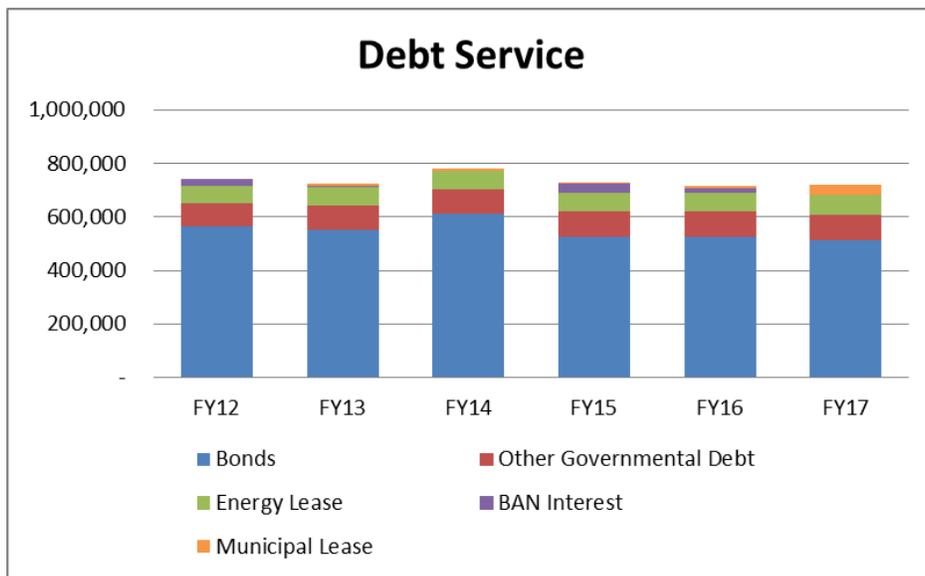


Public Works. The category of Public Works includes the Department of Public Works, which consists of Public Works Admin, Engineering, City Facilities, Inspection, Maintenance Admin, Street Maintenance, Public Works Garage, Snow Removal, St. Lighting/Traffic Lights, Sidewalks, Parking Lots, Parks, Historic Preservation, Planning and Zoning Boards, Storm Wastewater and Street Cleaning. Refuse and Recycling is also included in Public Works. Total FY17 expenditures for this category are proposed to increase by \$629,029 or 16.22%. This is primarily due to an increase in capital equipment replacements, sidewalk improvements and increased use of CHIPS funding for road improvements. These expenses do not include employee health insurance. When removing capital equipment, sidewalk and road improvement expenditures, public works operating budgets increased a total of \$93,577 or 2.86%.

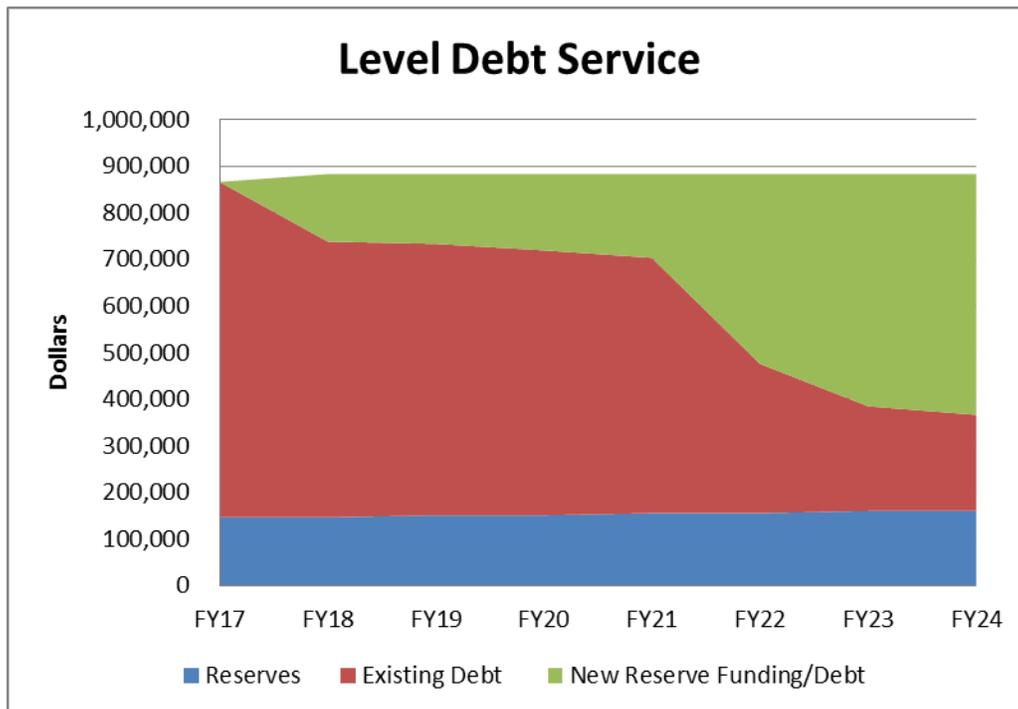


Reserve Funding. Since 2008 the City has diligently made an effort to fund reserve funds for future capital purchases. Combined with committing annual surpluses, this funding has provided the City with invaluable resources for equipment replacements, infrastructure improvements and employee benefit payouts as the City has experienced a significant number of retirements over the past eight years. In addition, the establishment and funding of reserve funds has also contributed to the City’s improved bond rating, as well as stabilization of tax rates, while making meaningful strides in replacing capital equipment. Continuing the City’s financial planning by building reserves and planning for the future will allow the City to make capital replacements, improvements and upgrades. Unfortunately, due to constrained revenues the proposed budget include a decrease in reserve funding. ***While this reduction provides temporary relief to a constrained budget, the City will not be able to make needed investments in the future if this practice continues in perpetuity.***

Debt Service. These include bonds (principal and interest), other governmental debt (Joint City/County Court Facility), energy lease, municipal lease and interest for outstanding bond anticipation notes (BANs) in the General Fund. Debt service payments will remain flat for FY17; however in future years debt service will begin to decrease drastically as obligations are being paid off.



Debt Management Plan. Currently the City's General Fund debt service (excluding BAN interest) for FY17 is \$719,920. This amount will begin to drop significantly in FY18, and within the next seven years the City's debt service load will drop \$513,520, or 71.3%. With a decrease in debt, concerted efforts to funding equipment and facility improvements will provide greater resources for the City in upcoming capital projects such as Police facility improvements. In practice, the desired combination of total reserve contributions and debt service can remain relatively flat over time; however, as one increases or decreases, the other compensates equally. This process is generally referred to as "level debt service." Once the established reserve and debt levels are determined, capital plans can be balanced with acceptable debt limits.



PERSONNEL COSTS

Employee Wages. AFSCME (public works) and CSEA (administrative) employees receive a 2.5% wage increase, PBA (police) and IAFF (Fire) employees receive a 2.75% wage increase, per their collective bargaining agreements; it is recommended that management employees receive a 2.75% wage increase.

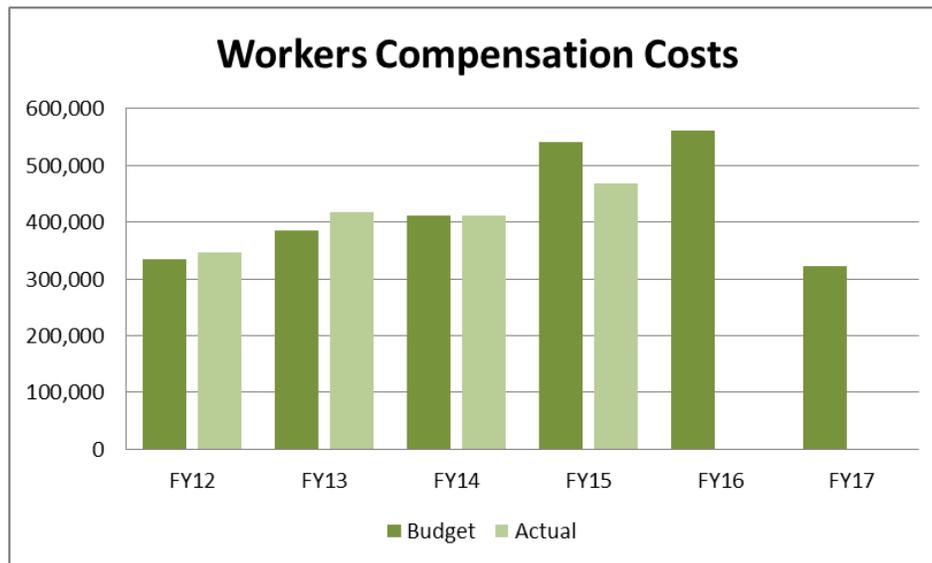
Workers Compensation Insurance. Over the past several years, the City has held worker’s comp insurance through the New York State Insurance Fund (NYSIF). Over the past five years, premium costs have risen from \$255,599 in FY11 to the FY16 budgeted number of \$521,259. When the City received its estimates for proposed FY17 from NYSIF last month, the projections were in excess of \$700,000. This large increase was a culmination of classification rate increases coupled with an increase in the City’s experience modification.

The NYS Worker’s Compensation Board (WCB) conducts a biannual evaluation of 571 job classifications based on risk from a statewide perspective and assigns a risk value (or loss cost) based on a number of factors. In 2015, the Worker’s Comp Board announced heavy loss cost increases for categories which make up 62% of the City’s workforce. While those increases amount to 17.5% overall, they are still short of the last classification increase the City saw in FY14 when the rates increased nearly 20%. In summary, since 2013, the City has seen a 36.5% overall increases in classification rates. During this same time, the overall average increases were 7.7%.

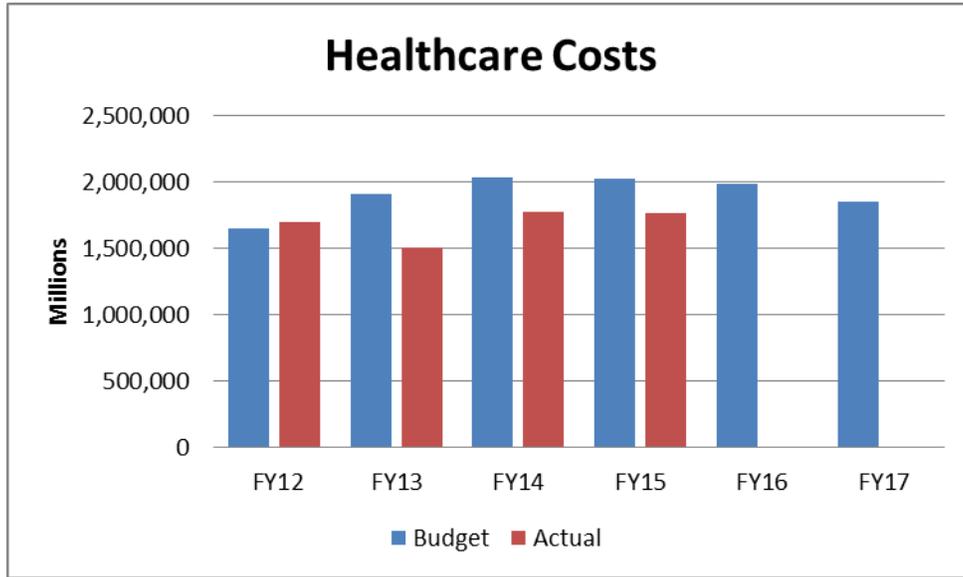
In addition, the experience modification is calculated based on total claims over the prior three-years, and the City incurred a significant number of claims between 2012 and 2014. The higher than expected losses have driven the experience modification to a projected increase of nearly \$100,000 for FY17.

In looking at the average annual claims incurred by NYSIF compared to the premium rate, the City has incurred an average of \$229,520 over the last five years. During that same time period, the average premium paid was \$361,548.

Due to the continuous increase in premiums and the consistency of premiums more than 50% higher than incurred cost, it is recommended that the City move from an insurance carrier to a self-insured workers compensation program. Self-insurance will not be subject to the experience modification or the classification rates and provide more control to the City over managing its worker’s compensation costs. The City had a third party administrator evaluate claims and expenses over the past five years and believes that the amount currently in the workers’ compensation reserves of \$239,500 combined with yearly contributions would fully support a move to self-insurance. The City budgeted appropriately to maintain a healthy workers compensation reserve while budgeting in a manner consistent with three-year average costs for workers’ compensation claims. As a result this year’s workers compensation budget decreased \$238,660 or 43% over the prior year

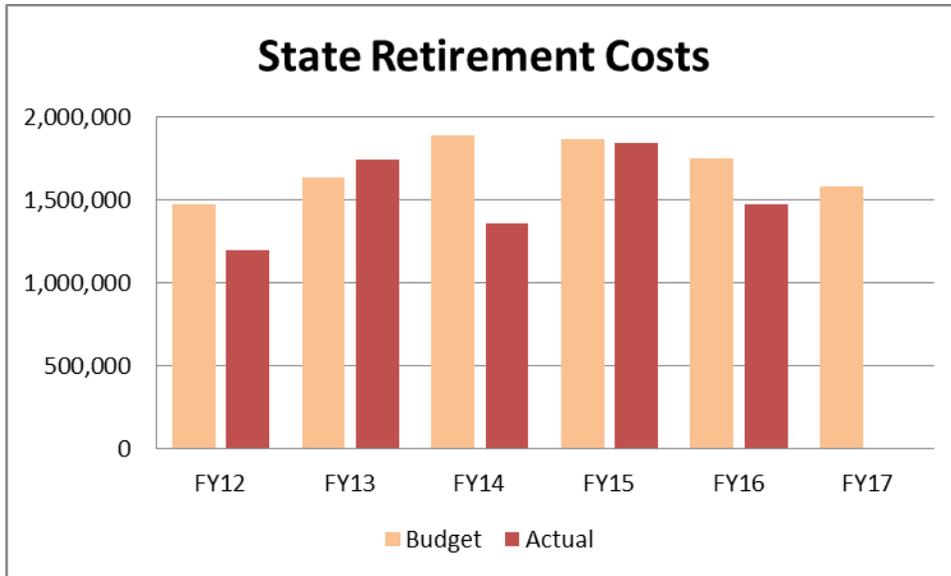


Employee Health Insurance. Currently all City employees are under the City’s wellness plan and receive equal medical and dental benefits. The City has successfully managed its self-insured healthcare plan so that over the past years the cost of healthcare premiums has been contained to minimize annual increases.



The City experienced level healthcare claims in FY14 and FY15. On average the City has experienced a 5% annual increase in claims over the last four year period. While claims have increased in prior years, year-end expenditures have come in under budget. As a result, there is a decrease of \$128,000 or 6.5% in the total healthcare insurance budget over the prior year, as well as utilization of \$20,000 from the Healthcare Reserve Fund to meet revenue demands.

New York State Retirement Contribution. The City has received a projected decrease in the retirement contribution for the upcoming year. Unfortunately, in past years the City’s actual retirement contribution has not been consistent with the retirement projection issued by the NYS retirement system. As seen in the chart below, the City has been subject to retirement contribution swings that range from \$535,000 less than projected, to exceeding what was budgeted by \$110,000. This continued inconsistency from the NYS retirement system creates doubt by the City regarding its reliance on retirement contribution projections. As such, rather than decreasing the City’s budgeted retirement contribution, levels have remained in line with FY16 and instead \$20,000 from Retirement Reserve Fund is being used to meet revenue demands. Should the retirement contribution decline over the next several years, the City will begin to budget levels consistent with actual expenses. This will assist in avoiding inaccuracies and smoothing out inaccuracies in the retirement projections should they be significantly different than the actual contributions as witnessed in the past.



WATER AND WASTEWATER

Proposed Water Rate Adjustment. In implementing the City’s water rate and capital plan adopted last year, a strategic water rate adjustment plan was developed to alleviate pressures related to decreasing consumption and increasing infrastructure demands. The plan sought to balance the system’s investment needs and budgetary shortfalls with the practical reality of customer affordability concerns.

Last year the water rate plan adopted by City Council included several elements such as a small rate adjustment, a modest capital improvement fee increase and the phasing out of the existing second rate block. The plan allowed the City to responsibly mitigate system risk by completing important capital projects and limiting the impact on City customers.

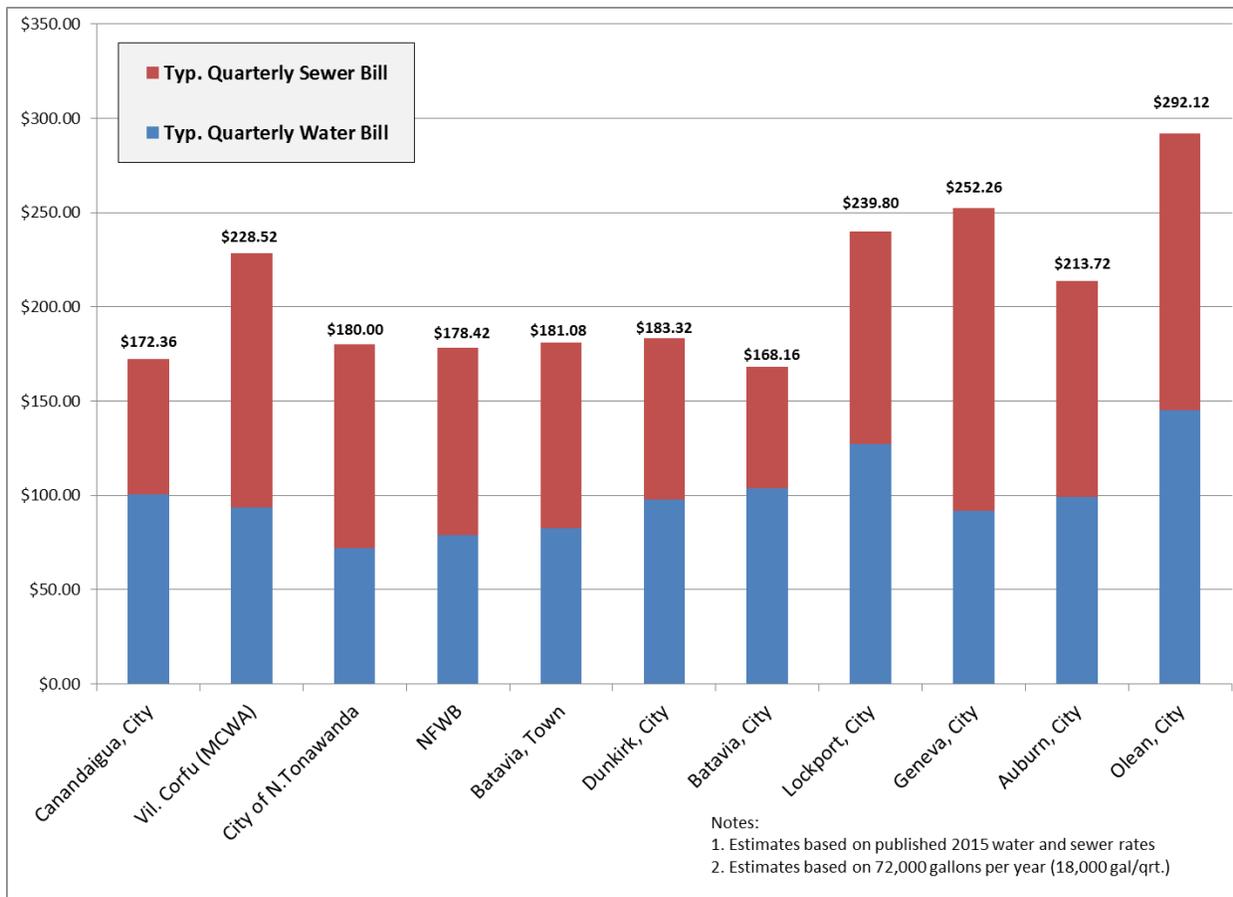
Consistent with the adopted plan last year the proposed rate adjustment for FY17 includes a water rate and meter fee increases of \$.17 or 3.5%. In addition, the plan includes a capital improvement fee increase for all meter sizes. The impact to a typical residential customer with a 5/8 inch meter will be \$.45 per quarter. The fee adjustments are necessary due to the growing capital improvement needs of the water system. The revenue from this fee will be exclusively dedicated towards funding the necessary water system improvements.

The proposed water rate for a typical residential user is \$4.95 per 1,000 gallons and the capital fee per typical residential user is \$4.95 per quarter. The total impact to a typical residential customer (approximately 95% of customers) from the proposed rate and fee adjustments is approximately \$2.40/quarter.

Wastewater Rate. Building from the City’s capital infrastructure plan adopted last year, it recommended that no rate increase is needed for the Wastewater Fund.

Conclusions. In summary, it is recommended that the City continue to make the strategic capital investments outlined in the capital plan to reduce the risk of failure of its water and wastewater assets. To accomplish this in a fiscally responsible manner an accompanying water rate adjustment is recommended. Also, continuing with the planning water and wastewater re-investments will help maintain satisfactory service levels for City water and wastewater customers and mitigate the potential for future rate spikes due to sudden failures. The proposed water and wastewater capital projects for FY17 are discussed in the capital plan section of the budget document.

The chart below displays how the proposed rate impacts a typical water/sewer bill in relation to other similar size communities. As shown on the chart, Batavia’s combined water/bills are extremely competitive when compared to other Western New York communities.



RECOMMENDATION

In closing, the factors affecting the City's future are manageable with responsible budgeting practices.

The proposed FY17 General Fund budget recommends a \$.13 tax rate increase to \$9.29 per \$1,000 assessed value, which is an increase in the tax levy of \$55,621 or 1.10%. This would result in an average increase of \$1 per month or \$12 per year to the average home assessed at \$90,000.

The proposed tax increase is recommended in order to safeguard against further decreases in revenues. Considering sales tax growth is expected to come to a stop or even decrease, a modest property tax increase and modest expenditure reduction will avoid more drastic tax increases in following years, or severe service cuts. In addition, due to the City's compliance with the New York State Tax Cap, every homeowner will receive a rebate for any City increase in property taxes.

SPECIAL THANKS

The FY17 budget could not have been possible without the dedication and teamwork of the staff. In particular I would like to thank Gretchen DiFante, Lisa Neary and Lisa Casey for their commitment to spending countless hours putting the budget together and continuing with the City's exceptional budget presentation.

Sincerely,

Jason Molino

City Manager

HOW TO REVIEW THIS BUDGET

We hope that we have developed a budget document that is easy for everyone to use, yet comprehensive enough for the experienced reader. Following is a brief description of the major sections of the budget along with page numbers so that you can turn directly to that particular section. Each section detailed below in bold represents a portion of the budget which the reader can quickly “tab” to.

Financial Policy Statements

This section lists general City financial policies. The planned implementation of these goals is also explained.

Statistics & Supplemental Overview

This section is provided for history of the City, community profile and demographics, property tax information, property tax cap calculation and the impact of the budget on the typical household.

Budget Reports

This section, which may be the most important contained within the document, provides a summary of the entire budgetary picture of the City of Batavia. There are charts and graphs which depict the City’s budgetary position. In addition, there is very

detailed analysis on fund balances, revenues & expenditures for the City’s primary funds.

Funds & Department Detail

This section provides the “nuts and bolts” of the budget. In these sections, you will find the costs relating to the specific activities and functions contained within the City. These sections also provide additional information on what the projected levels of expenditures are anticipated to be in the future years and the major service activities for each cost or service center.

Miscellaneous Funds

This section includes a description and detail of the Capital Fund, Workers Compensation Fund, Small Cities Fund, Special Grants & Batavia Development Fund and Mall Fund.

Capital & Debt

This section you will find the Capital Improvement Plans and Debt Payment Schedule for the City.

Appendix

In this year’s budget, the Appendix features useful information on the City’s constitutional tax limit, analysis of the City’s workforce and presentation of the past five years of revenues and expenses as well as the next five years of projections.

Glossary

Included in the glossary are common terms as well as many acronyms used throughout the budget that are specific to the City.

BUDGET PROCESS

Budget Development

The budgetary process for the City of Batavia begins in October when the budget manual is distributed by the City Manager to all departments and bureaus, which outlines the budget calendar, submission dates, performance measurement requirements and parameters for budget requests. Departments are required to complete their budgetary requests for the new fiscal year and include justifications for any infrastructure, capital and program change requests. The Bureau of Personnel staff works with departments in reviewing personnel needs. The City administration reviews all requests on the timeframe as identified in the annual budget calendar. All funds, capital programs, infrastructure replacement programs and staffing are presented to the City Manager to discuss with the department heads. The proposed budget is then presented to the City Council for review and adoption, including a public hearing. Prior to the public hearing multiple budget work sessions are conducted with the City Council and staff to discuss the proposed budget and capital projects.

Budgetary Control

Formal budgetary accounting is used as a management control for all funds of the City. Budgetary controls are exercised both at the departmental level, with the adoption of the budget, and at the line item level through accounting controls. Additionally, budgetary control is maintained by individual departments, acting in conjunction with the City Manager's Office.

Under provisions of the City's Charter, the City Council annually enact by ordinance the operating budgets of the general and enterprise funds and capital projects, which cannot exceed appropriations except by approval of the governing body. An annual budget for the capital projects is adopted by individual funds. Amendments to the budget occur throughout the year for a variety of reasons. Possible factors include encumbrances from the prior year, unexpended purchase orders which are added to the current year budget at the close of the prior year, grants or other forms of financial aid which were received during the year but not anticipated in the original budget, appropriations of fund balances needed to offset unanticipated and unavoidable expenditures, and transfers of appropriations among object classes within department budgets to address particular requirements not anticipated in the original budget. The City Council approves and authorizes the annual budget at the level of object class totals within each department. The City Manager has the authority to transfer appropriations among line items within a department. All transfers between departments and funds must be approved by City Council. The encumbrances on prior year purchase orders are added to the budget as part of the annual financial closing process. All other budget amendments must be authorized by formal resolution of the City Council. The City disperses its capital projects fund monies to various projects, which may cause a deficit within the project. However, the City adopts a positive Capital Improvements Program where funds can be transferred within the fund with appropriate

approval from the governing body. Supplemental appropriations were required during the year and the accompanying budgetary data has been revised for amendments authorized by resolution during the year.

Fiscal Accountability

Fiscal accountability is achieved through development and adoption of the annual budget and long-range financial plans. This practice authorizes the allocation of resources for programs and services for the coming year and allows for insight into the next five-year planning period. The City works diligently to ensure that the budget document is easy to understand and that residents have a clear picture of how tax dollars are used. Once proposed, the budget is placed on the City's website. Once adopted, the budget is updated on the City's website.

Throughout the fiscal year the Finance Office prepares and disseminates monthly financial reports to the City Manager and every City department. The report provides revenue and expenses for their respective budgets. The Finance Office also prepares monthly financial reports comparing actual revenues and expenditures with budgeted revenue and expenditures as well as comparing year-to-date actual revenues and expenditures to the prior fiscal year. City Council officially accepts the financial reports during the monthly Business Meeting.

The City Manager also submits a six (6) month financial report in October projecting revenues and expenditures for the remainder of the fiscal year. Should any expenditures project over budget, the City Manager shall recommend a budget adjustment for City Council action to amend the budget.

At the end of each fiscal year the City conducts an annual audit. Records for every fund are audited by an independent audit firm that tests and reviews supporting evidences and financial statements. The audit report is presented to an Audit Advisory Committee consisting of residents for review prior to submission to the City Council. Once presented to City Council the audit is placed on the City's website.

This budget has been prepared and will be submitted to the Government Finance Officers Association (GFOA) for consideration for the Distinguished Budget Presentation Award. The purpose of Distinguished Budget Presentation Awards Program (Budget Awards Program) is to encourage and assist state and local governments to prepare budget documents of the very highest quality that reflect both the guidelines established by the National Advisory Council on State and Local Budgeting and the GFOAs best practices on budgeting and then to recognize individual governments that succeed in achieving that goal.

BUDGET TIMELINE

August-October

- City Council sets the Strategic Agenda

October/November

- City Manager & Assistant Manager plan budget
- City Manager submits instructions to Staff
- Department Heads meet with Staff to discuss goals & objectives
- Personnel Costs are developed by Bureau of Personnel
- Year Action Plans are completed by Dept. Heads

November/December

- All departmental budgets are to be entered into City accounting system
- City Manager meets with Department Heads to discuss budget requests

January

- Budget document finalized
- Proposed budget is submitted to the City Council
- Initial Council meetings to discuss proposed budget

February - March

- Continue Council meetings to discuss proposed budget
- Publication of notice of Public Hearing
- Public Hearing
- City Council adopts budget

April

- **Fiscal Year Begins April 1st**

CITY STRATEGIC PLAN

Background. Following the economic troubles in 2006, the City began its first comprehensive strategic planning process in 2010 with three goals in mind: restore public trust in City leadership; use data to measure success; and become alert to emergent trends and conditions. To ensure the involvement of all stakeholders, City leaders first surveyed citizens to determine their interests and concerns. The results, along with empirical and percentage-based data from daily operations, short and long term factors affecting the City, and staff feedback, were reviewed and analyzed in a series of workshops. After examining the current state of the City, reviewing past financial challenges, participating in a SWOT analysis, creating a vision statement, and revising the existing mission statement, the Council identified seven strategic priorities (financial health, government efficiency, economic development and job creation, neighborhood revitalization, environmental sustainability, public safety, and healthy and involved community members), developed statements to further define each priority, and identified key intended outcomes (KIOs) against which to measure progress. Lastly, it drew up a Strategic Business Plan to help accomplish the KIOs and allocate resources to best meet residents' needs.

The City updated its strategic plan in 2012, and in 2014 the plan was recognized by the International City/County Management Association with its Program Excellence Award for Strategic Leadership and Governance. This award recognizes innovative and successful local government programs that have significantly impacted a local government's culture or strategic direction.

The factors that ultimately proved essential to the City's success and led to Batavia's receipt of such a prestigious award were providing citizens with multiple access points to feedback mechanisms; being willing to refine the City's data-driven plan to foster sound decision making; and showing employees how their daily work links to the bigger picture.

Having recovered from the financial crisis, Batavia began its biennial review of strategy in 2014 with a thorough analysis of the plan and its priorities. The City Council and administration transitioned its focus from crisis stabilization to beyond recovery and met to review the current and predicted trends to determine whether strategic priorities needed to remain the same. In its evaluation of strategy beyond recovery, the team determined the priorities needed to build on transparency of government, assessment of services, alliances with partners, public engagement and focus on what's important.

With these things in mind, the City consolidated its priorities to five: Well-Managed City; Vibrant, Livable Neighborhoods; Stewards of City's Physical Assets; Safe and Secure Community; and a Healthy and Growing Economy. Those strategic priorities along with revised directional statements and key intended outcomes (KIOs) are outlined in the following Strategic Plan. Over the course of the past year the team has expanded the measurable outcomes based on data

gained from the past five years. The 2017 budget also includes funding to update the Strategic Plan for the next four years.

STRATEGIC PRIORITIES

Strategic Priority 1: Well-Managed City	
Directional Statements	
<ul style="list-style-type: none"> • Maintain a healthy and stable financial position while taking advantage of economic trends. • Leverage technology to maximize communication with community members and keep them fully informed • Expect organizational excellence. 	<ul style="list-style-type: none"> • Maintain and encourage healthy and productive interactions between City Council, management and staff. • Constantly seek ways to exceed the expectations of our stakeholders. • Foster teamwork and trust among staff members.
Key Intended Outcomes	Actions
<p>Outcome: City Priorities Linked to Vision</p> <p><i>(Objective 1)</i></p>	<ul style="list-style-type: none"> ▪ Support Comprehensive Planning Steering Team to update comprehensive plan
<p>Outcome: Department Accreditation – Police (NYS DCJS), Fire (CPSE), DPW (APWA), Finance (GFOA)</p> <p><i>(Objective 2-3)</i></p>	<p>Begin self-assessment process for police, fire and public works.</p> <ul style="list-style-type: none"> ▪ Prepare and submit budget for GFOA Budget Certification Award. ▪ Prepare and submit financial statements for Certificate of Achievement for Excellence in Financial Reporting (CAFR).
<p>Outcome: Fiscal Wellness Index (FWI)</p> <p><i>(Objectives 4-5)</i></p>	<ul style="list-style-type: none"> ▪ Maintain a “no designation” rating on the OSC Fiscal Stress Monitoring System. ▪ Maintain or improve City’s investment ratings.
<p>Outcome: Organizational Development</p> <p><i>(Objectives 6)</i></p>	<ul style="list-style-type: none"> ▪ Develop internal leadership plan from results of employee survey for upcoming year. ▪ Continue training available for PDC, ZBA and HPC.
<p>Outcome: Internal Process Efficiencies</p> <p><i>(Objectives 7 & 9)</i></p>	<ul style="list-style-type: none"> ▪ Implement new software systems in tax, utility billing, payroll & upgrades to Filebound ▪ Evaluate and assess use of police records management system to maximize future use. ▪ Administer Clerk’s Office customer service satisfaction survey. ▪ Improve efficiency of audit process. ▪ Review code enforcement software and processes. ▪ Move to self-insured workers comp program & develop measurements for efficient program. ▪ Review all City fees and update as needed.
<p>Outcome: Healthcare Wellness Plan</p> <p><i>(Objective 8)</i></p>	<ul style="list-style-type: none"> ▪ Continue to seek 100% participation. ▪ 85% employees max goals; 95% earn at least 4 out of 5 goals

Strategic Priority 2: Vibrant, Livable Neighborhoods

Directional Statements

- | | |
|---|--|
| <ul style="list-style-type: none"> • Support our community through City partnerships with residents and businesses to ensure healthy and vital neighborhoods, free of crime, blight and decline. • Encourage and model community beautification efforts that create pride and sustainability throughout the City. | <ul style="list-style-type: none"> • Promote public engagement with community members of all ages. • Seek to promote a diversity of cultural and recreational opportunities. |
|---|--|

Key Intended Outcomes

Actions

Outcome: Quality, systematic code enforcement <i>(Objective 10)</i>	<ul style="list-style-type: none"> ▪ Program objectives maintained at 95% compliance
Outcome: Multi-family home inspection program <i>(Objective 11)</i>	<ul style="list-style-type: none"> ▪ Program objectives maintained at 95% compliance ▪ Continue program but evaluate processes
Outcome: Improved housing quality <i>(Objective 12)</i>	<ul style="list-style-type: none"> ▪ Continue relationship with Habitat for Humanities. ▪ Develop relationship with others (i.e. Pathstone). ▪ Implement 2014 CDBG Housing Rehab Grant ▪ Continue focus on abandoned & distressed properties to include investigation into regional Landbank ▪ Continue Vibrant Batavia efforts in growing community engagement and neighborhood vitality.
Outcome: Municipal codes support goals <i>(Objective 13)</i>	<ul style="list-style-type: none"> ▪ Complete one code revision – Chapter 96: Grass, Weeds and Debris.

Strategic Priority 3: Stewards of City’s Physical Assets

Directional Statements

- | | |
|---|--|
| <ul style="list-style-type: none"> • Enhance sustainable multi-modal infrastructure necessary for economic and neighborhood growth throughout the City. • Preserve, protect and promote our City Parks, the Tonawanda Creek, our natural resources and our water and wastewater infrastructure. | <ul style="list-style-type: none"> • Encourage energy and utility efficiency and natural resource sustainability. • Be mindful of our historic heritage. |
|---|--|

Key Intended Outcomes

Actions

Outcome: Improved Roadway Conditions

(Objective 14)

- Maintain Pavement Condition Index (PCI) 85% or greater

Outcome: Improved Sidewalk Conditions

(Objective 15)

- Improve a minimum of 3,700 linear feet of sidewalk

Outcome: Reduce non-revenued Water

(Objective 16)

- Monitor non-revenued water
- Identify efficiencies to investigate in administration and distribution

Outcome: Develop and Implement Infrastructure/Facility Capital Plans

(Objective 17-18)

- 100% of Capital Plan initiatives are completed on time and within budget
- Continue Police Facility discussion
- Complete facility capital plans for the Fire Station and Bureau of Maintenance
- Construct Ellicott Trail
- Develop Tree Master Plan

Outcome: Maintain and protect natural resources

(Objectives 19-21)

- Maintain high quality water for residents
- Maintain high quality effluent from the wastewater system
- Renegotiate the Water O&M, Lease and Sales Tax agreements
- Investigate establishing a Stormwater user fee to support storm sewer budget

Strategic Priority 4: Safe and Secure Community

Directional Statements

- | | |
|---|--|
| <ul style="list-style-type: none"> • Cooperate with other public safety agencies to provide high quality public safety services. • Ensure well-equipped, resourced and trained public safety professionals. | <ul style="list-style-type: none"> • Strengthen emergency preparedness and security throughout the City. • Enhance trust between citizens and public safety professionals by increasing citizen engagement through education, communication and prevention activities. |
|---|--|

Key Intended Outcomes

Actions

Outcome: Community Safety Rating <i>(Objective 22)</i>	<ul style="list-style-type: none"> ▪ Administer police survey on community safety
Outcome: Increased Citizen Emergency Preparedness <i>(Objective 23)</i>	<ul style="list-style-type: none"> ▪ 200 child safety seat inspections completed ▪ 2,000 residents/300 hours committed to public education ▪ Number of CO detectors installed ▪ Number of smoke detectors installed
Outcome: Increase City employee and facility emergency preparedness <i>(Objective 24)</i>	<ul style="list-style-type: none"> ▪ 60% of staff ICS/NIMS ▪ # of staff CRP/AED ▪ Safety audit for city facilities
Outcome: Decrease in criminal behavior in youth <i>(Objective 25)</i>	<ul style="list-style-type: none"> • Youth Bureau, Police Department and School District collaboration to identify most successful deterrents and track success over a ten-year period.

Strategic Priority 5: Healthy and Growing Economy

Directional Statements

- | | |
|---|--|
| <ul style="list-style-type: none"> • Provide support to home and business owners in ways that will lead to an increase in property values. • Leverage the Community Rating System through FEMA to provide relief to homeowners within the Special Flood Hazard Area. • Support the development and redevelopment of Brownfield sites and underutilized properties to promote tax base growth and job creation. | <ul style="list-style-type: none"> • Find ways to capitalize on our central location to encourage others to visit and invest in Batavia because of the value they see and experience. • Assume leadership to collaborate with other entities to achieve the best possible economic benefits for Batavia. |
|---|--|

Key Intended Outcomes

Actions

Outcome: Brownfield Opportunity Area (BOA) Site Redevelopment <i>(Objective 26)</i>	<ul style="list-style-type: none"> ▪ Redevelopment Ellicott Station ▪ Redevelopment of Newberry Building ▪ Implement 2014 CDBG Micro-enterprise Grant ▪ Complete CFA Application
Outcome: Grow income levels for Batavia residents <i>(Objective 27)</i>	<ul style="list-style-type: none"> ▪ Continue to implement 2014 Micro Enterprise grant program ▪ Continue to promote existing small business loan and development programs
Outcome: Community Rating System <i>(Objective 28)</i>	<ul style="list-style-type: none"> ▪ Acceptance into the CRS and a level 8 ▪ Complete annual flood field training exercise ▪ Update Genesee County Multi-Hazard Mitigation Plan

Strategic Priority 1: Well-Managed City

Objective 1: Update the City’s Comprehensive Plan. [City Manager’s Office]

Actions: Work with Steering Committee to update comprehensive plan. City Council adoption of updated plan.

	MEASUREMENT	TARGET	Status FY15/16	FY16/17	FY17/18	FY18/19
1	Update the City’s Comprehensive Plan	Complete by Jan. 2017	Planning process begun	Under development	Complete by January 2017	Zoning code revision April 2019

Objective 2: Achieve the NYS Department Criminal Justice Police Accreditation. [Police, Administrative Services]

Actions: Review and prepare required standards.

Objective 2a: Achieve the Center for Public Safety Excellence Fire Accreditation. [Fire, Administrative Services]

Actions: Review and prepare required standards.

Objective 2b: Achieve the American Public Works Association Accreditation. [DPW, Administrative Services]

Actions: Review and prepare required standards.

Objective 3: Continue recognition from the Government Finance Officers Association (GFOA) for excellence in budgeting and financial reporting. [City Manager’s Office, Administrative Services]

Actions: Continue to receive the GFOA “Distinguished Budget Presentation” award. Receive the GFOA award for “Excellence in Financial Reporting”

	MEASUREMENT	TARGET	Status FY15/16	FY16/17	FY17/18	FY18/19
2	Achieve the NYS Dept. Criminal Justice Police Accreditation	Accreditation by FY18/19	Acceptance into program	Preparation – review of required standards	Self-Assessment	Request initial Accreditation Assessment
	Achieve the Center for Public Safety Excellence Fire Accreditation	Accreditation by FY18/19	Acceptance into program	Preparation – review of required standards	Self-Assessment	Request initial Accreditation Assessment
	Achieve the American Public Works Association Accreditation for DPW	Accreditation by FY19/20	Acceptance into program	Download self-assessment software and mgt. practices manual	Preparation/ Self-Assessment	Preparation/ Self-Assessment
3	Achieve the Distinguished Budget Award	Yes	Yes	Yes	Yes	Yes
	Achieve the Certificate of Achievement of Financial Reporting	Yes	Self-Assessment	Yes	Yes	Yes

Objective 4: Maintain a “no designation” rating on the Office of the State Comptroller’s Office Fiscal Stress Monitoring System. [City Manager’s Office, Administrative Services]

Actions: Receive a “no designation” score of ≤44.9%.

Objective 5: Maintain or improve City’s investment ratings. [City Manager’s Office, Administrative Services]

Actions: Maintain sufficient reserves, fund balance and follow best practices for financial management. Achieve a ≥A1 bond rating.

	MEASUREMENT	TARGET	Status FY15/16	FY16/17	FY17/18	FY18/19
4	Office of State Comptroller’s Fiscal Stress Monitoring System assesses the City’s budgetary solvency	≤44.9%	0%	≤44.9%	≤44.9%	≤44.9%
5	Maintain/Improve City’s bond rating	≥A1	A1	≥A1	≥A1	≥A1

Objective 6: Develop organizational development plan based on employee survey results. [Administrative Services]

Actions: Improve employee engagement development goals to improve overall scores in FY17/18.

	MEASUREMENT	TARGET	Status FY15/16	FY16/17	FY17/18	FY18/19
6	Organizational Development Plan	Plan based on employee survey	Survey complete; develop dept. plans	Improve employee engagement: develop goal to improve overall scores	Re-administer survey and improve overall scores over FY15/16	

Objective 7: Implement new admin software. [Administrative Services]

Actions: Implement payroll, tax and utility billing.

Objective 7a: Evaluate and assess use of police records. [Police, Administrative Services]

Actions: Continue to work with Genesee County Sheriff’s Office on records management improvements. Transfer all Impact data into New World.

Objective 7b: Administer Clerk Office’s customer satisfaction survey. [Administrative Services]

Actions: Implement customer survey achieve ≥90% customer satisfaction.

Objective 7c: Improve efficiency of audit process. [Administrative Services]

Actions: Reduce number of City audit adjustments by half from the prior year.

Objective 7d: Review code enforcement software. [DPW, Administrative Services]

Actions: Review current code software capabilities and processes.

Objective 7e: Review all fees City wide and update as needed. (Administrative Services)

Actions: Review current City fees and make recommendations based on cost to provide services.

	MEASUREMENT	TARGET	Status FY15/16	FY16/17	FY17/18	FY18/19
7	Implement new admin software & Filebound	Software installed	Preparing for implementation	Payroll, tax, utility billing June 2016	Monitor system changes	Evaluate financial suite
	Evaluate and assess use of police records	Ongoing	On-going	All Impact data into New World		
	Clerk office customer service survey	≥90% customer satisfaction	Develop survey	≥90% customer satisfaction	≥90% customer satisfaction	≥90% customer satisfaction
	Improve efficiency of audit process	Reduction in City audit adjustments	Cut in half from 29	15	8	4
	Review code enforcement software	Review current capabilities	Start FY16/17	Review current capabilities of code software and processes	Recommend software and process improvements	

Objective 8: Improve employee health with increased participation in City wellness plan. [Administrative Services]

Actions: Strive to achieve 100% employee and spouse participation in City wellness plan. 85% participants achieve max credit; 95% of participants achieve 4 or more credits.

Objective 9: Risk management review of general and workers compensation insurance. [Administrative Services]

Actions: Move to self-insured workers comp program and develop additional measurement to ensure efficient program is being implemented.

	MEASUREMENT	TARGET	Status FY15/16	FY16/17	FY17/18	FY18/19
8	Employee healthcare wellness plan participation	100%	Jan/Feb. testing	100%	100%	100%
	% of participates earning	≥85% max ≥95% earned ≥4 credits	Jan/Feb. testing	≥85% max ≥95% earned ≥4 credits	≥85% max ≥95% earned ≥4 credits	≥85% max ≥95% earned ≥4 credits
9	Risk management review	Evaluate general and worker comp	Develop safety committee	Move to self-insured workers comp, assign measurements, reduce workers comp cost.	Monitor measurements	Monitor measurements

Strategic Priority 2: Vibrant, Livable Neighborhoods

Objective 10: Continue systematic code enforcement program throughout the City. [DPW]

Actions: *Strive to achieve voluntary compliance.*

Objective 11: Continue multi-family inspection program throughout the City. [Fire]

Actions: *Continue program but evaluate processes and identify efficiencies.*

Objective 12: Improve quality housing available to City residents. [City Manager’s Office, DPW]

Actions: *Facilitate the rehabilitation of existing housing stock as well as market needed new housing.*

Objective 13: Revise one municipal code to improve neighborhoods. [City Manager’s Office, City Attorney, DPW]

Actions: *Review Chapter 96: Grass, Weeds and Debris for easier enforcement of repeat offenders.*

	MEASUREMENT	TARGET	Status FY15/16	FY16/17	FY17/18	FY18/19
10	Quality, systematic code enforcement	≥95% compliance (12 months)		≥95% compliance (12 months)	≥95% compliance (12 months)	≥95% compliance (12 months)
	Average time to bring property into voluntary compliance	≤6 months		≤6 months	≤6 months	≤6 months
	Average time it took to bring court referred cases into compliance	≤12 months		≤12 months	≤12 months	≤12 months
11	Multi-family inspection program	≥95% compliance (12 months)		Evaluate program and improve efficiencies	Implement improvements	TBD
12	Improve quality housing available to residents	≥1 residential home rehabilitated	3 Habitat houses started	≥2 residential home rehabilitated	≥2 residential home rehabilitated	≥2 residential home rehabilitated
13	Revision of municipal codes to improvement neighborhoods	1 code revision per year	Rooming house revisions adopted	Revise Chapter 96 for easier enforcement of repeat offenders	1 code revision	1 code revision

Strategic Priority 3: Stewards of City's Physical Assets

Objective 14: Continue to maintain high quality roads and streets. [DPW]

Actions: Utilize best applications to exceed 85% Pavement Condition Index for average of City roadway system.

Objective 15: Continue to improve and replace the City's sidewalk system. [DPW]

Actions: Replace sidewalks in tandem with roadway resurfacing. Ensure improved areas are ADA compliant.

Objective 16: Reduce non-revenue water (water loss) by one percent per year. [DPW]

Actions: Continue leak detection efforts to identify system leaks. Replace and upgrade older water meters to reduce under-reading water usage. Investigate and eliminate unmetered water use.

Objective 17: Develop and implement City capital improvement plans. [City Manager's Office, Administrative Services, DPW]

Actions: Continue to implement water and sewer capital plans, equipment replacement plan, parking lot capital plan, Dwyer Stadium capital plan and Ice Arena capital plan. Evaluate city facility and assets to best target limited capital funds to provide best return.

Objective 18: Construct Ellicott Trail throughout the City. [City Manager's Office, DPW]

Actions: Work with the Town and steering committee to finalize design. Develop inter-municipal agreement for construction of trail.

Objective 19: Maintain high quality water to City residents and businesses. [DPW]

Actions: Achieve high level of reporting standards to provide safe, high quality drinking water for public use.

Objective 20: Maintain high quality effluent from the wastewater system. [DPW]

Actions: Achieve high level of reporting standards for re-introducing high quality flow into the Tonawanda Creek.

Objective 21: Continue to provide affordable high quality water. [City Manager's Office, DPW]

Actions: Renegotiate the Water O&M, Lease and Sales Tax Agreements with Genesee County.

	MEASUREMENT	TARGET	Status FY15/16	FY16/17	FY17/18	FY18/19
14	% of streets in satisfactory condition or better	≥85% Pavement Condition Index (PCI)	90%	≥85% PCI	≥85% PCI	≥85% PCI
15	Improve sidewalk systems throughout the City	Replace ≥3,700 lf of sidewalks	5,500 lf	Replace ≥3,700 lf of sidewalks	Replace ≥3,700 lf of sidewalks	Replace ≥3,700 lf of sidewalks
16	Reduce non-revenue water percentage of total production	≤20%	Feb. 2016	≤20%	≤20%	≤20%
17	Develop and implement capital improvement plans	Execute projects within budget and on schedule	All projects within budget	Execute projects within budget and on schedule	Execute projects within budget and on schedule	Execute projects within budget and on schedule
18	Construct Ellicott Trail throughout the City	Construction complete 2018	Preliminary design completed	Construction begin 2017	Construction complete 2018	
19	Water Treatment Quality Standard	≥98% compliance	Started reporting Jan. 2016	≥98% compliance	≥98% compliance	≥98% compliance
20	WWTP Regulatory Compliance	≥96% compliance	Started reporting Jan. 2016	≥96% compliance	≥96% compliance	≥96% compliance
	Storm User Fee	Investigate storm water user fee		Investigate establishing a storm water user fee		
21	Provide affordable high quality water.	Renegotiated agreements		Completed O&M, Lease and Sales Tax Agreements		

Strategic Priority 4: Safe and Secure Community

Objective 22: Determine the community’s sense of safety. [Police, Administrative Services]

Actions: Administer police survey to residents regarding citizen safety. Develop community policing initiatives based on survey.

Objective 23: Provide quality citizen emergency preparedness services. [Fire, Police]

Actions: Provide citizens with quality emergency preparedness education, safety child seat inspections and smoke/CO inspection/installations.

Objective 24: Ensure City staff receives adequate emergency management training and City facilities are secure and safe. [City Manager’s Office, Administrative Services, Fire]

Actions: City staff to receive necessary ICS/NIMS training, CPR/First Aid/AED training and improve emergency preparedness of City facilities.

Objective 25: Decrease criminal behavior in City youth. [Batavia City School District, Police, Administrative Services]

Actions: Work with inter-agency team to identify youth in need, development measurements, monitor youth and provide needed services. Start September 2016, track students for 5 years.

	MEASUREMENT	TARGET	Status FY15/16	FY16/17	FY17/18	FY18/19
22	Community Safety Rating	Administer safety survey	Start FY16/17	Administer survey and development plan	Establish community policing priorities	Re-administer survey and improve overall scores
23	Provide quality citizen preparedness training	≥2,000 residents/300 hrs		≥2,000 residents/300 hours	≥2,000 residents/300 hours	≥2,000 residents/300 hours
	Provide child seat safety inspections/installations	≥200		≥200	≥200	≥200
	# of smoke detectors/CO detectors installed	50/50		50/50	50/50	50/50
24	Ensure City emergency preparedness training	50% staff ICS/NIMS trained		60% staff ICS/NIMS trained	70% staff ICS/NIMS trained	80% staff ICS/NIMS trained
	Increase # of city staff CPR/AED qualified	Increase over prior year		Increase over prior year	Increase over prior year	Increase over prior year
	Improve emergency preparedness for all City Facilities	Audit City facilities	Start FY16/17	50% of all city facilities safety audit and training. Conduct 1 table top exercise	Complete remainder of facilities. Conduct table top exercise.	Conduct training exercise.
25	Decrease criminal behavior in youth	To be developed/ 5-year tracking	Team put together and plan in development	Team to set specific goals with timeframes. Program kick off Sept. 2016.	Track and take action.	Track and take action.

Strategic Priority 5: Healthy & Growing Economy

Objective 26: Redevelop Brownfield Opportunity Area (BOA) sites to create a readily identifiable downtown core. [Batavia Development Corporation, City Manager’s Office]

Actions: *Actively work towards redeveloping Ellicott Station, City Centre and Medical Corridor. Work to increase the community’s assessed value while working to achieve a healthy balance of housing and jobs.*

Objective 27: Maintain and grow the income levels for Batavia residents. [Batavia Development Corporation, City Manager’s Office]

Actions: *Focus on the creation and retention of living-wage jobs through projects that support a healthy local economy and community. Track unemployment and per capita income for the City of Batavia.*

Objective 28: Participate in the FEMA National Flood Insurance Program and maintain the City’s Community Rating System (CRS) rating. [Administrative Services, DPW, Fire]

Actions: *Maintain a cross-departmental team to continuously improve the City’s floodplain management. Participate in FEMA’s CRS program. Conduct one flood field training exercise. Update Genesee County Multi-Hazard Mitigation Plan.*

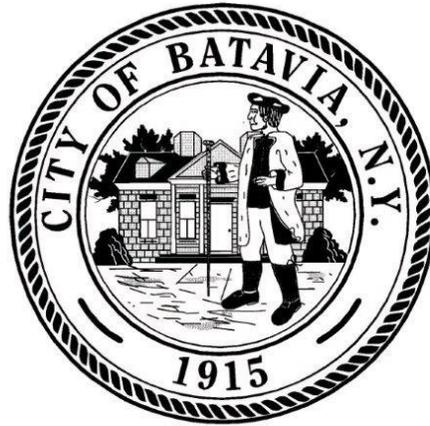
	MEASUREMENT	TARGET	Status FY15/16	FY16/17	FY17/18	FY18/19
26	Redevelopment of BOA Strategic Sites	Redevelopment of 1 site (3yrs.)	Ongoing interest in Ellicott Station, Medical Corridor, City Centre and Creek Park	Redevelopment of Ellicott Station	Redevelopment of Ellicott Station	Redevelopment of Ellicott Station
27	Create/maintain jobs (FTE) for low- and moderate income people using city small business loan programs	≥5		≥5	≥5	≥5
	Unemployment rate within the City	≤7.5%				
	Per capita income within the City		\$22,351			
28	Maintain City Community Rating System (CRS) in the National Flood Insurance Program	≤9	Expect rating of 8 by year end	≤8	≤8	≤8
	Complete flood Field Training Exercise (FTX)	Complete flood FTX	Completed flood FTX	Complete flood FTX	Complete flood FTX	Complete flood FTX



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SECTION 2

FINANCIAL POLICY STATEMENT



FINANCIAL POLICY STATEMENTS

The City Council has adopted financial policy statements in order to provide for increased long-term decision making. The development of effective strategies lies first in understanding the causes of problems and the inter-relationships among them. Second, we must relate our understanding of the problems to specific community needs and objectives. One way to do this is by specifying our financial objectives in policy statements. Using policy statements to set financial goals gives a means of measuring our progress in improving our financial condition.

Although a broad range of statements, decisions, and activities could be construed as financial policies, financial policies are defined here as goals for our financial operation. Setting goals is important because it gives us a long-range perspective on our current approach to financial management. It also helps us agree on the kind of financial condition we want for our community. The establishment of financial policies is useful for the following reasons:

1. A formal set of policies can help the City Council and City Manager discover conflicts, inconsistencies, and gaps in our financial operations. It can also help develop similar expectations regarding both managerial and legislative financial decision making.
2. Publicly adopted policy statements can contribute greatly to the credibility of (and to public confidence in) the government. Such statements show the credit rating industry and prospective investors the government's commitment to sound financial management and fiscal integrity.
3. Established policies can save the City Manager and City Council time and energy. Once certain policies are set, the issues do not need to be discussed each time a decision is made.
4. The process of developing overall policies directs the attention of management and elected officials to the government's total financial condition rather than to single issues. Moreover, this process requires that long run financial planning be linked to day-to-day operations.
5. As overall policies are developed, the process of trying to tie issues together can bring new information to the surface and reveal additional concerns that need attention.
6. Discussing financial policies can educate elected officials by making them more aware of their role as policy makers in maintaining good financial conditions.
7. Discussing financial issues and adopting a formal position can help the government to prepare for financial emergencies and to avoid relying on short-term solutions.
8. Setting policies can improve fiscal stability by helping local officials look down the road, plan tax rates and expenditures two to four years ahead, and be consistent in their approaches to planning.
9. Finally, explicit policies contribute to continuity in the government's financial affairs.

Local officials may change over time, but policies can continue to guide whoever manages. With the information from the multi-year financial planning, the City Council can then develop its goal for the financial future of the organization. What does the City Council want the financial picture to look like? What steps will be needed to accomplish that goal?

The recommendations for the financial policies is based upon sound planning principles put forth by local government finance practitioners, bond rating firms, best practices and the staff's professional judgments.

Similar financial policies were adopted by City Council in 1999, and have continued to serve as guiding principles for City staff to date. While the City continues to function under these policies it is prudent to review them annually and it recommended that the updated polices be adopted following the budget adoption.

REVENUE POLICIES

Statements dealing with taxes and the means whereby the city raises revenue to fund operations.

REVENUE POLICY #1: UNASSIGNED FUND BALANCES

- To maintain the City's credit rating and meet seasonal cash flow shortfalls, the budget shall provide for a minimum unassigned fund balance of 10% for the General Fund of operating expenditures. The fund balance shall be exclusive of all assigned, committed, restricted and non-spendable fund balances not anticipated to be readily available for use in emergencies and contingencies.
- Should the fund balance fall below 10% of expenditures at the end of a fiscal year, a plan for expenditure reductions and/or revenue increases shall be submitted to the City Council by the City Manager for future years. Also, the Audit Advisory Committee will annually evaluate current fund balance classifications in order to recommend the final distribution of fund balance in any fiscal year in consideration of estimated liabilities of the City and sound financial planning.
- If the balance should ever exceed 20%, the excess shall be utilized for one-time expenditures as recommended by the City Manager to the City Council.
- If, at the end of a fiscal year, the fund balance falls below 5%, then the City shall rebuild the balance within the next two (2) fiscal years.

REVENUE POLICY #2: CONTINGENCY ACCOUNT

- To help maintain services during short periods of economic decline and meet emergency conditions, in addition to the fund balance, the General Fund budget shall provide for a minimum contingency equivalent to 1.5% of estimated annual operating revenues. All special revenue fund types shall maintain a contingency account and capital reserves. The contingency is established to provide for nonrecurring unanticipated expenditures.

REVENUE POLICY #3: SOURCES OF REVENUE

- The City will strive to maintain a diversified and stable revenue system to shelter the government from short-run fluctuations in any one revenue source and ensure its ability to provide ongoing services.
- Revenues for the next four (4) years will be projected and updated annually. Each existing and potential revenue source should be re-examined annually.

REVENUE POLICY #4: REVENUE COLLECTION

- The level of uncollected property taxes will be monitored on a quarterly basis.
- Daily receipts will be deposited into one or more depository, as selected by City staff and authorized in the City's investment policy;
- Except as otherwise provided by the City Charter, the amount to be raised annually by

taxation of property shall be levied, assessed, apportioned and collected in accordance with the provisions of the Real Property Tax Law of the State of New York.

REVENUE POLICY #5: FEES, LICENSES, PERMITS, & MISC. ITEMS

- A "User-Fee" study shall be conducted by the City on a periodic basis, the first shall be completed by FY 2016-2017.
- Pursuant to the user fee studies, all fees for licenses, permits, fines, and other miscellaneous charges shall be set, if the Council desires, to recover the City's expense in providing the attendant service. These fees shall be reviewed and adjusted where needed. A revenue manual listing all such fees and charges of the City shall be maintained by the City Clerk and updated concurrent with any adjustments.

REVENUE POLICY #6: FEES FOR SPECIAL REVENUE (ENTERPRISE TYPE) FUNDS

- Special Revenue Fund (Water & Wastewater) charges will be cost of service based (i.e., set to fully support the total direct, indirect, and capital costs) and established so that the operating revenues of each enterprise fund are at least equal to its operating expenditures and annual debt service obligations.
- Beginning with fiscal year 2009 and then updated in 2014, the City conducted a comprehensive rate study, on an annual basis for Council review during the budget process so that any rate adjustment may be implemented effective the first day of the following April. Every effort shall be made to limit rate increases, however not more than 10% in anyone year unless Federal, State or judgment arising out of litigation dictates otherwise.

REVENUE POLICY #7: GRANTS

- The City shall pursue all grant opportunities; however, before accepting grants, the City will consider the current and future implications of both accepting and rejecting the monies.
- In recommending acceptance or rejection of inter-governmental grants, the Department Head shall evaluate each grant and make a recommendation to the City Manager after considering:
 - the amount of the matching funds required;
 - in-kind services that are to be provided;
 - length of grant and consequential disposition of service (i.e., is the City obliged to continue the service after the grant has ended); and
 - what are the related operating expenses.

OPERATING BUDGET POLICIES

Statements dealing with the expenditures of the operating budget.

OPERATING BUDGET POLICY #1: OPERATING BUDGET- "PAY-AS-YOU GO"

- The City shall attempt to conduct its operations on a pay-as-you-go basis from existing or foreseeable revenue sources. The control of costs will be emphasized. Achieving pay-as-you-go requires the following practices: current operations and maintenance costs to be funded with current revenues, direct and indirect costs of services must be fully identified, and sound revenue and expenditure forecasts must be prepared.
- The City's procurement procedures shall allow purchasing without prejudice, seeking to obtain the maximum value for each dollar of expenditure in accordance with established City quality standards.

OPERATING BUDGET POLICY #2: BUDGET BALANCE

- The City budget shall balance operating expenditures with operating revenues. The General Fund shall not be balanced with appropriations from the General Fund fund balance if to do so would drop the fund balance below 5% of operating revenue.

OPERATING BUDGET POLICY #3: BUDGET PERFORMANCE REPORTING

- The Department of Administrative Services shall submit a monthly financial report comparing actual revenues and expenditures with budgeted revenue and expenditures as well as comparing year-to-date actual revenues and expenditures to the prior fiscal year.
- The Department of Administrative Services shall submit a six (6) month financial report in October projecting revenues and expenditures for the remainder of the fiscal year. Should any expenditures project over budget, the City Manager shall recommend a budget adjustment for City Council action to amend the budget.

CAPITAL IMPROVEMENT POLICIES

Policies relating to capital improvement planning and special funds necessary to address particular needs of the City.

CAPITAL POLICY #1: CAPITAL IMPROVEMENT PROGRAM

- A Capital Improvement Plan (minimum 5 years) shall be developed and presented annually by staff and reviewed by the City Council. This plan shall contain all capital improvements from all funds and departments of the City.
- A high priority shall be placed on a replacement of capital improvements when such improvements have deteriorated to the point of becoming hazardous, incur high maintenance costs, are negatively affecting property values, and/or no longer functionally serving their intended purposes. Replacement of capital outlay items shall be tied at fairly stable intervals so as not to spend excessively in one year and restrictively in the next.

CAPITAL IMPROVEMENT POLICY #2: INTERGOVERNMENTAL ASSISTANCE

- Intergovernmental assistance shall be used to finance only those capital improvements that are consistent with the capital improvement plan and the City's priorities, and whose operations and maintenance costs have been included in operating budget forecasts.

CAPITAL IMPROVEMENT POLICY #3: CAPITAL FINANCING

- Capital projects shall not be dictated by the nature of funding available except to the extent that the projects meet an initial test of being required to achieve City goals and to the extent that projects must be placed in priority dictated by the nature of funds available.
- On an as needed basis, the City Manager, Department of Administrative Services and the Department of Public Works shall identify all completed capital projects and formally request that the project(s) be closed out. Recommendations for all unspent money will be provided via a resolution.
- Projects shall not incur a deficit without the approval of the City Council.

ACCOUNTING POLICIES

Policies relating to the procedures that the City utilizes in accounting for its financial transactions.

ACCOUNTING POLICY #1: ACCOUNTING SYSTEM AND STANDARDS

- The City's accounting and reporting system shall demonstrate the following characteristics:
 - reliable;
 - accurate;
 - consistent; understandable to all users;
 - responsive; and
 - in conformance with all legal requirements.

- The City's accounting system shall be maintained in such a way so as to conform to generally accepted accounting principles established by the Governmental Accounting Standards Board and by the New York State Comptroller and result in an unqualified opinion by the City's independent auditor.
- On an annual basis, the City Manager, the Department of Administrative Services and the Department of Public Works shall identify all completed capital projects and formally request that the project(s) be closed out. Recommendations for all unspent money will be provided via a resolution.
- Accounts receivables due to the City shall be promptly recognized in accordance with generally accepted accounting principles and promptly collected in accordance with administrative policies of the City.
- The Clerk's Office and Finance Office shall develop and maintain daily, weekly, monthly and annual standard operating procedures within their respective bureaus.

DEBT POLICIES

Policies relating to the long-term financing of the City's capital improvement program

DEBT POLICY #1: USE OF DEBT POLICY

- The City of Batavia shall only use long-term debt for capital projects that cannot be financed out of current revenues within the Revenue Policy guidelines. Further debt financing shall generally be limited to one-time capital improvement projects and only under the following circumstances:
 - When the project's useful life will exceed the term of the financing;
 - When the project revenue or specific resources will be sufficient to service the debt; and,
 - When the project will benefit the citizens of Batavia.
- Debt financing shall not be considered appropriate for:
 - Current operating and maintenance expenses (except for issuing short-term instruments such as bond anticipation notes, revenue anticipation notes or tax anticipation notes); and
 - Any recurring purpose (except as indicated above).

DEBT POLICY #2: SELF-IMPOSED/COUNCIL LIMITS ON DEBT ISSUANCE

- Refunding bonds may be authorized by the City Council provided such refunding does not result in an increase in the interest rate and does result in a savings over the life of the bonds.
- To maintain the City's credit rating and expenditure flexibility, the annual debt service payments the City must make on net direct long-term debt shall be evaluated and recommended with the first review of the Comprehensive Debt Management Plan.

DEBT POLICY #3: MUNICIPAL LEASING

- Municipal lease purchase shall be considered only when the useful life of the item is equal to or greater than the length of the lease. If the item may become technologically obsolete or is likely to require major repair during the lease purchase period, then the item should be either purchased or placed on a straight lease.

DEBT POLICY #4: RATING AGENCY RELATIONSHIP

- The City shall maintain communication with rating agencies about its condition. The City will follow a policy of disclosure on every financial report and bond prospectus.

DEBT POLICY #5: DEBT MANAGEMENT PLAN

- A Comprehensive Debt Management Plan shall be developed and presented annually by staff beginning in fiscal year 2015-2016 encompassing all debt of the City and including, but not limited to:
 - a detailing of the sources of funding for all debt;
 - current and future debt capacity analysis;
 - issues to be addressed for sound debt management;
 - a contingency debt plan should any of the funding sources become unavailable in the foreseeable future;
 - reporting as to the City's compliance with its debt policies, and
 - outline benchmarks (financial or economic indicators) to establish debt limits and the City's ability to repay outstanding debt over future years.

INVESTMENT POLICIES

Policies related to the investment of City funds.

The City will conform to all federal, state and local statutes governing the investment of public funds.

- The safety of principal is the foremost objective of the City's investment program. The investments of the City shall be undertaken in a manner that seeks to ensure the preservation of capital. The primary safety components will be to mitigate credit risk and interest rate risk.
- The City will minimize credit risk, which is the risk of loss due to the failure of the security issuer or backer, by:
 - Limiting investments to the safest types of securities;
 - Pre-qualifying the institutions, brokers/dealers, intermediaries, and advisers with which the City will conduct business;
 - The City shall diversify the investment portfolio, to the extent necessary, in order to minimize potential losses on individual securities.
- The City will minimize the risk that the market value of securities in the portfolio will fall due to changes in general interest rates, by:
 - Structuring the investment portfolio so that securities mature to meet cash requirements for ongoing operations, thereby avoiding the need to sell securities on the open market prior to maturity;
 - Investing operating funds primarily in short-term securities (CDs), money market funds, or similar investment pools.

The City's investment portfolio shall remain sufficiently liquid to enable the City to meet all operating requirements which might be reasonably anticipated. This will be accomplished by structuring the portfolio so that securities mature concurrent with the City's cash needs to meet anticipated demands (i.e. payroll). A portion of the portfolio also may be placed in money market mutual funds or government investment pools which may offer same-day liquidity for short-term needs.

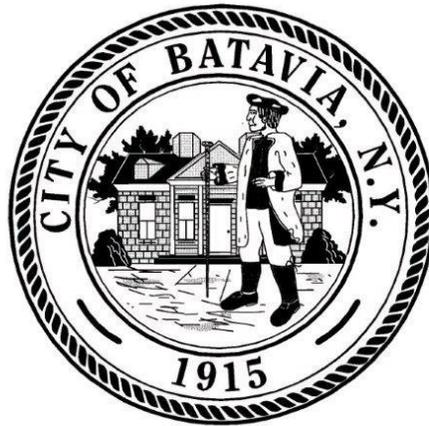
The City's investment portfolio shall be designed with the objective of attaining a market rate of return throughout budgetary and economic cycles, while taking into account risk constraints and the cash flow characteristics of the portfolio. The core of investments shall be limited to relatively low risk securities in anticipation of earning a fair rate of return relative to the risk being assumed.



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SECTION 3

STATISTICS & SUPPLEMENTAL OVERVIEW



HISTORY OF BATAVIA

Batavia, located on the Tonawanda Creek at the former junction of two major Indian trails, was founded in 1801 by Joseph Ellicott, resident agent for the Holland Land Company. Four years earlier, the Holland Land Company had purchased 3.5 million acres including the current site of Batavia from Robert Morris, “Financier of the American Revolution,” who in turn had acquired the land from the State of Massachusetts. The Seneca Nation, with the exception of reservations existing still today, in exchange for a payment of \$100,000 ceded its rights to this land in the 1797 Treaty of Big Tree.

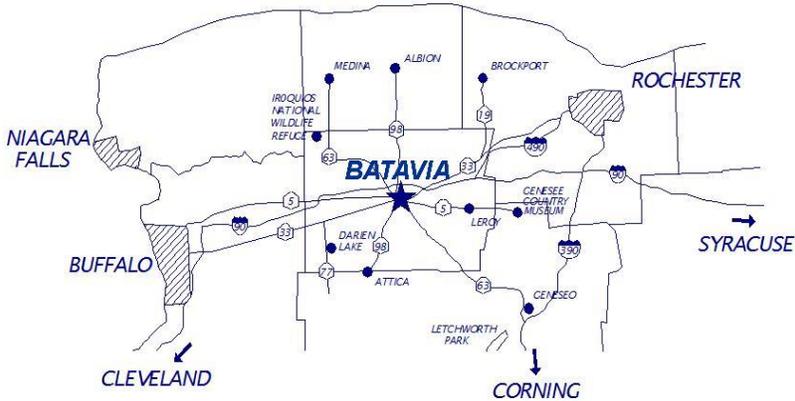
The Holland Purchase extended from Lake Ontario to the Pennsylvania border and from Lake Erie to a few miles east of Batavia. Before 1797, with the exception of a relatively few Native American settlements populated mainly by Seneca Indians, the area was largely undeveloped. When Ellicott built his 1801 land office at Batavia and sold there thousands of parcels carved from the former Indian land to pioneers principally from the eastern United States, the community became known as “the birthplace of western New York.” As Batavia grew, it first became incorporated as a village in 1823 and then as a city in 1915.

The original Indian trails became the routes of several state highways that were later joined by the New York State Thruway (I-90) in 1954. The first railroad reached Batavia from Rochester in 1836 and was followed by several other rail companies that made the city a railroad center. A modern airport with a 5500 ft. runway is located just north of the city. Over the years, many manufacturing concerns have been attracted to the community by virtue of its superior access to good transportation.

Batavia has been the county seat of Genesee County beginning with the latter’s formation in 1802. Among its many attractions is the second Holland Land Office, now a museum, built in 1815 as a successor to Joseph Ellicott’s first land office. Other historic structures are also located in Batavia including the 1841 Court House and the former Brisbane Mansion built in 1853.

COMMUNITY PROFILE AND DEMOGRAPHICS

The City of Batavia, the Genesee County seat, occupies a land area of 5.2 square miles with a population of 15,465. The city serves as the healthcare, business and commercial center for the surrounding agricultural area of Genesee, Orleans and Wyoming Counties. Batavia is centrally located in Western New York, midway between (approx. 30 miles) from the Cities of Rochester and Buffalo. Batavia is also the center of the Batavia/Genesee Micropolitan area with a population of 60,079.



Batavia is home to several significant and well established manufacturing employers, such as Graham Manufacturing, R.E Chapin, O-AT-KA Milk Products and is home to United Memorial Medical Center (UMMC), the only hospital in Genesee County. Since 1939 Batavia has been the home to the Batavia Muckdogs, a minor league baseball team and Class A affiliate to the Miami Marlins.

Source: *City of Batavia, Final Official Statement – July 14, 2014*

Batavia’s Top Employers		
<u>Employer</u>	<u>Type</u>	<u>Employees</u>
Genesee County	Government	743
UMMC	Health Care	706
Batavia Board of Education	Education	440
U.S. Veterans Hospital	Healthcare	400
Graham Manufacturing	Manufacturing	323
O-AT-KA Milk Products	Manufacturing	320
Genesee ARC	Human Services	300
R.E. Chapin	Manufacturing	273
Batavia Downs Gaming	Casino/Horse Track	250

The City operates under the Council-Manager form of government which was established by City Charter adoption in 1957. Under this form of government, the City Council is the legislative and policy-making body of the City, consisting of six council members elected by ward and three council members elected at large, with the Council President (an at-large Council member) serving as the presiding officer. The Council members are elected for 4-year terms. The Council meets twice a month to consider all matters brought to its attention by individual council members, the Council President and by the public. As such, the Council is responsible, among other things, for passing local laws, resolutions, adopting the budget and appointing committees. The Council appoints the City Manager, who serves as the Chief Executive Officer and the Director of Finance, Chief Fiscal Officer and enforces the city local laws and City Council policy as well as carries out all day-to-day operations. The City Manager, as the Director of Finance, is responsible for preparing the annual budget for City Council consideration.

The City provides a full range of municipal services, including police and fire protection, public works and inspection services, street lighting, maintenance of all streets and other infrastructure, snow removal, maintenance of over 60 acres of parks, water and waste water treatment facilities and conveyance, youth bureau services and general administration services. The City owns an ice arena and baseball stadium, but contracts their operations. Batavia also owns the largest lagoon wastewater plant east of the Mississippi River that provides wastewater treatment for the surrounding community and its industrial and manufacturing employers. The City employs 127 full-time and 14 part-time and seasonal employees.

The City of Batavia is proud to be one of three cities in New York State that has received the Government Finance Officers Association’s (GFOA) Distinguished Budget Presentation Award. Batavia has also been recently recognized by the New York Conference of Mayor’s (NYCOM) as a recipient of the 2015 Local Government Achievement Award for the City’s Water and Wastewater Infrastructure Renewal and Rate Plan. The International City/County Management Association (ICMA) recognized Batavia as a recipient of the 2014 Program Excellence Award for Strategic Leadership & Governance for the City’s Strategic Business Plan. Batavia is also part of the Batavia/Genesee Micropolitan area that for the tenth consecutive year Site Selection Magazine recognized as one of the top micropolitans in the United States.

Population				
Year	City of Batavia	Genesee County	New York State	United States
1990	16,310	60,060	17,990,455	249,632,692
2000	16,256	60,379	18,976,457	281,421,902
2010	15,465	60,079	19,378,102	308,745,538
Median Household Income				
Year	City of Batavia	Genesee County	New York State	United States
1990	\$26,606	\$30,955	\$32,965	\$30,056
2000	\$33,484	\$40,542	\$43,393	\$41,994
2010	\$38,011	\$51,734	\$57,683	\$53,046
Per Capita Income				
Year	City of Batavia	Genesee County	New York State	United States
1990	\$12,403	\$12,705	\$16,501	\$14,420
2000	\$17,737	\$18,498	\$23,389	\$21,587
2010	\$21,691	\$25,355	\$32,104	\$28,051

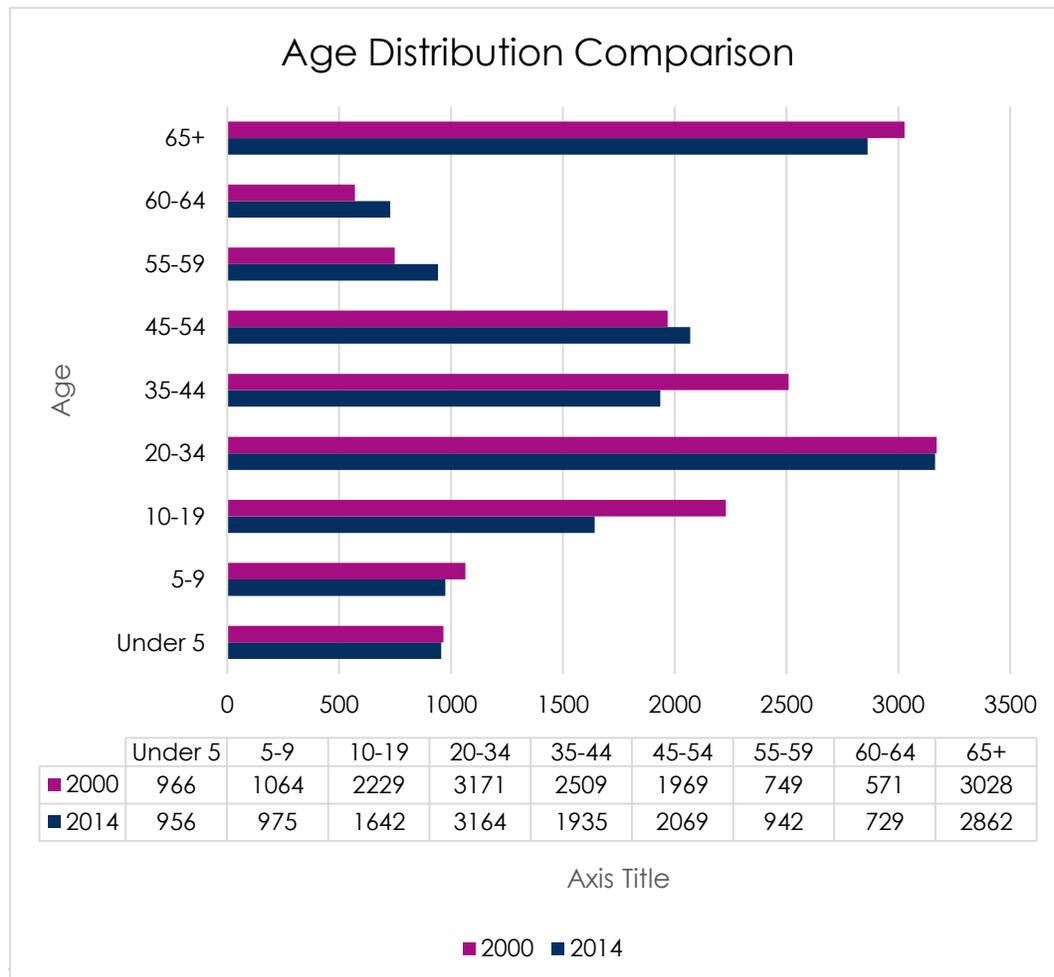
Source: US Census Bureau, American Community Survey

People

People

All of the counties on the western half of this region had a decrease in population between 2000 and 2010, and Batavia's population has decreased 7.3% since the year 2000. The following tables and charts present specific demographic information relating to population, labor force, housing and education. The information contained in this section is taken from the American Community Survey 2010 – 2014 5-Year Estimates compiled by the U.S. Census Bureau.

Population (2014 estimate)	15,274
Labor Force (2014 estimate)	7710
Median Age	40
Unemployment rate	4.7%



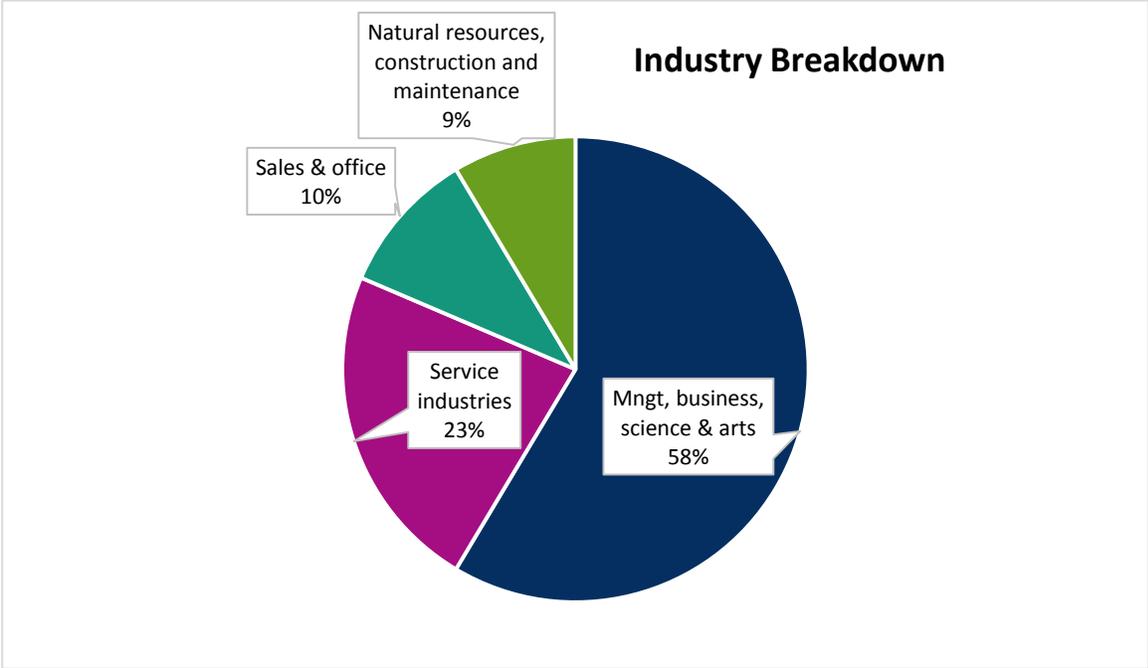
Race

White	13,250	87%
African American	1188	8%
American Indian	78	.5%
Asian	122	.5%
Multi-race	448	3%
Hispanic	605	4%

The City of Batavia's population is aging which brings about two key growth considerations; supporting its existing elderly population while seeking to attract and retain young families. Batavia's United Memorial Medical Center became part of the Rochester Regional Health System in late 2014. The hospital has invested over \$20,000 in a new surgical center and is currently constructing a \$6.5 million cancer center. As a part of this four-hospital network anchored by Rochester General Hospital, Batavia and Genesee County residents will realize expanded services and large efficiencies in healthcare delivery.

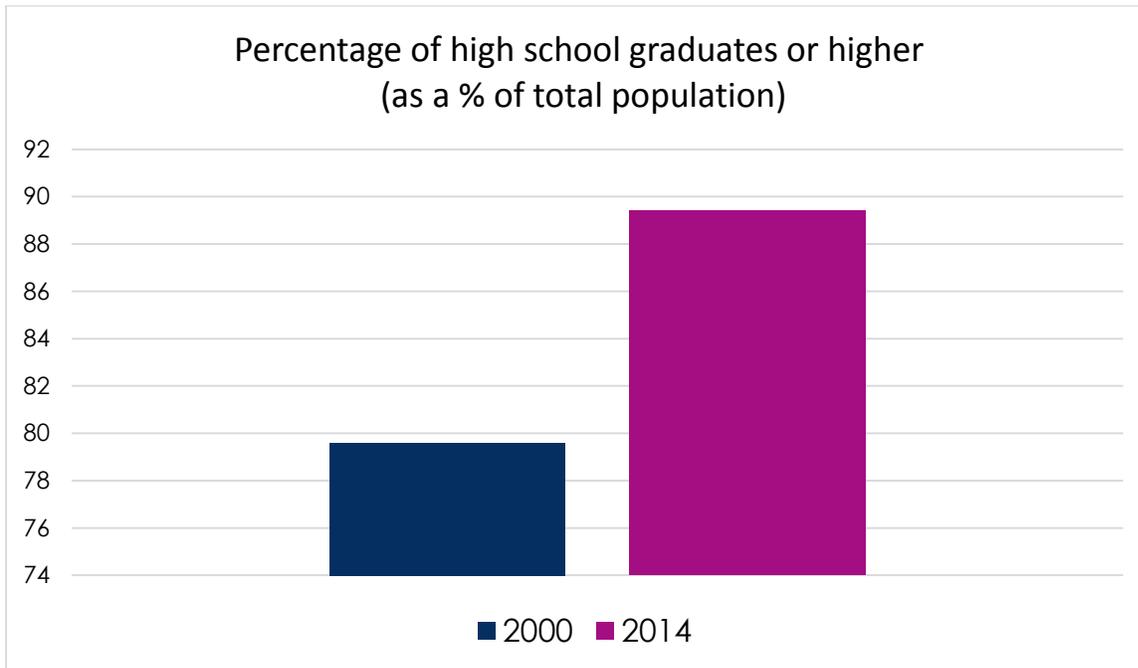
Labor Force

The City's workforce is mainly comprised of service, government and medical occupations. Batavia is also an employment center for the county and the surrounding region. With 9,269 jobs in the City, 7,004 of those jobs are filled by those coming into the City or the County with a smaller percentage of those coming from surrounding counties. Residents fill the remaining 2,265 jobs. 4,514 commute out of the City for work with 50% of those employed in jobs within Genesee County and the other half split between bordering Erie and Monroe Counties.



Education

Batavians are becoming better educated at all levels. While high school graduate percentages rose 10%, between 2000 and 2014, the percentage of the population earning college degrees also rose 3% over the same time frame.

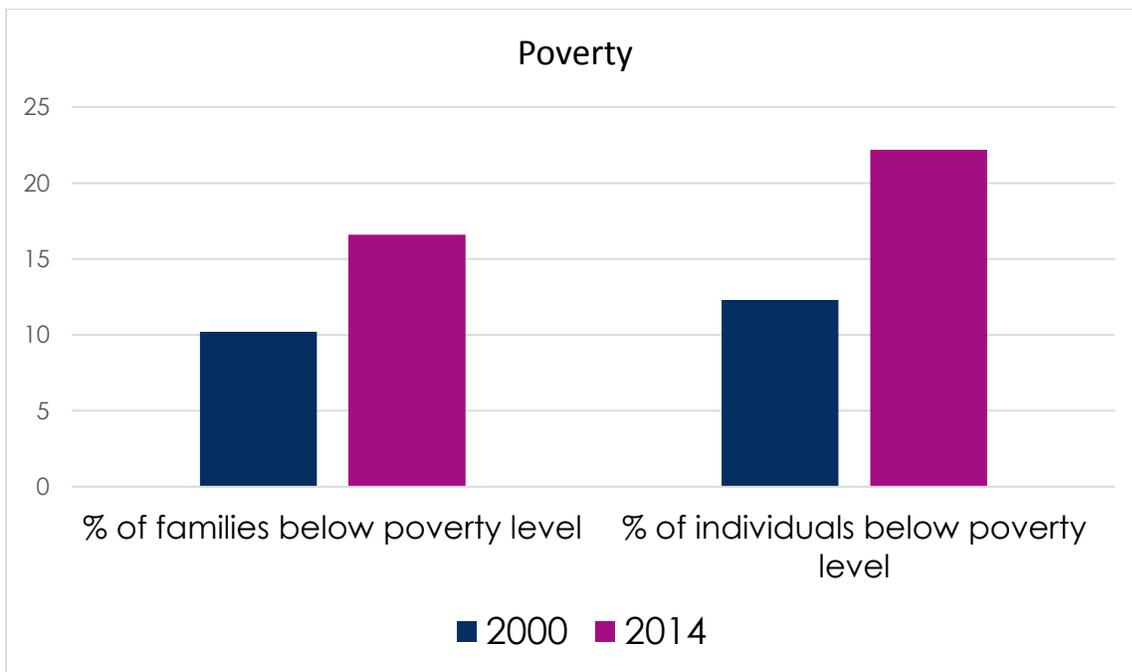


The City is fortunate to have access to a breadth of higher learning institutions. Genesee Community College, located in the nearby Town of Batavia, offers Associate's Degrees and professional certificate programs. In addition, there are 26 colleges and universities within a 50 mile radius of the City that offer Bachelor's, Master's and Professional Degree opportunities.

Income

Across Genesee County, median household incomes (HHI) are below \$50,000 and Batavia is no exception with an estimated median HHI of \$40,882. In comparison, the median HHI for Genesee County is \$49,922.

The percentages of both individuals and families below poverty level has increased since 2000 (see chart below). Both the percentage of those on public assistance has increased to (by 1.8%) and the mean cash public assistance income has increased (44.2%) to \$2,958. The percentage of total population without health insurance coverage is 8 percent.

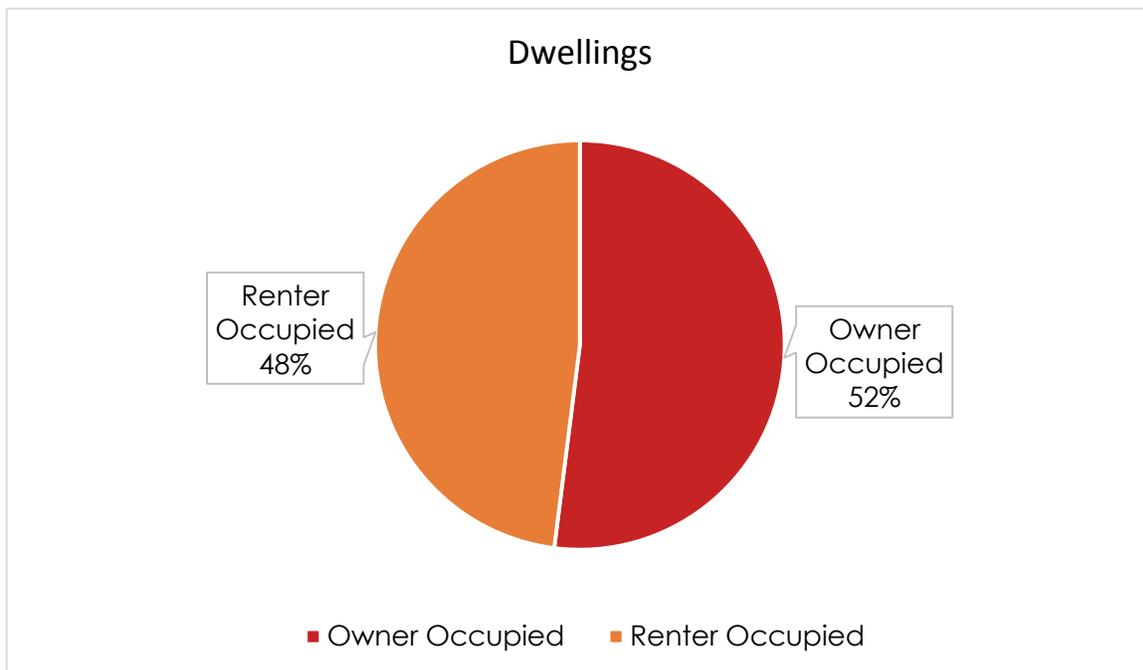


Housing

Housing occupancy in Batavia grew by just over four percent from 2000 – 2010. While the number of renter households in Batavia fell during the early 2000s, the City’s home ownership rate remained around 55 percent. Most of Batavia’s housing stock (59%) is comprised of single family homes. Forty percent are multifamily units, roughly half of which are smaller multifamily properties. The City’s vacancy rates remain low; however, the City has seen a steady increase in vacancy rates since 2000.

Total Number of Housing Units	
6,960	

Occupied Housing Units	6,432
Vacant Housing Units	528
Homeowner Vacancy Rate	1.5%
Rental Vacancy Rate	2.8%



PROPERTY TAX

One of the City's main sources of revenue is the real property tax which is levied on all commercial, industrial, residential and other non-exempt real estate. It is calculated as the product of two factors: the assessed value of property and the total tax levy.

The assessed value is equal to the full market value of taxable property. The tax rate is the number of dollars of tax on every \$1,000 of assessed value. The tax rate is calculated by first dividing the taxable assessed valuation by 1,000. Then the property tax levy is divided by the taxable property value to produce the tax rate.

The final tax rate may vary slightly due to transfers of exempt property that may occur after to adoption of the budget. Once the budget is adopted, the tax rate can be calculated, taking into account any transfers of exempt property up until that point.

YEAR	TOTAL ASSESSED VALUE	TAXABLE ASSESSED VALUE	% OF EXEMPT PROPERTIES	CITY TAX RATE	COUNTY TAX RATE	SCHOOL TAX RATE
05/06	\$683,582,762	\$463,817,133	32.15%	\$7.36	\$10.27	\$24.91
06/07	\$709,028,756	\$496,320,927	30.00%	\$7.75	\$10.15	\$25.90
07/08	\$710,089,308	\$497,859,430	29.89%	\$9.26	\$9.94	\$25.20
08/09	\$687,530,380	\$505,476,823	26.48%	\$10.02	\$9.55	\$24.12
09/10	\$703,078,339	\$518,534,718	26.25%	\$10.19	\$9.78	\$23.67
10/11	\$705,567,375	\$526,754,087	25.34%	\$10.35	\$9.82	\$23.64
11/12	\$715,973,743	\$533,179,597	25.53%	\$10.48	\$9.79	\$24.39
12/13	\$715,828,570	\$533,245,095	25.51%	\$10.71	\$9.88	\$24.56
13/14	\$712,437,581	\$529,981,726	25.61%	\$9.30	\$9.88	\$23.63
14/15	\$773,444,040	\$550,110,924	28.88%	\$9.14	\$10.03	\$24.33
15/16	\$773,526,842	\$550,482,792	28.83%	9.16	\$9.85	\$24.59

PROPERTY TAX CAP

Beginning with the City's fiscal year starting April 1, 2012, The State Legislature and the Governor enacted legislation that establishes a "property tax cap" which limits growth in the property tax levy. Under this law, the total amount to be raised through property taxes charged on the municipality's taxable assessed value of the property is capped at 2 percent or the rate of inflation, whichever is less, with some exceptions. Local communities have the ability to override the cap by passing a local law or resolution by at least 60 percent vote of the governing body in favor.

2016/2017 TAX CAP CALCULATION

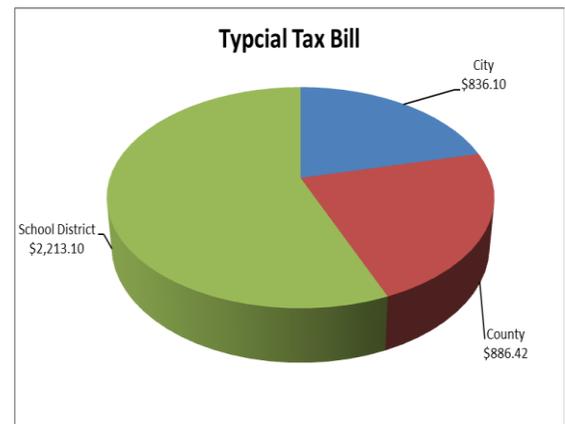
5,041,304.47	City of Batavia total tax	
28,448.98	Removed exemptions	
959.98	Omitted taxes	
<u>119,999.97</u>	Special District Taxes - BID	
5,190,713.40	Prior fiscal year tax levy	
x <u>1.0000</u>	City of Batavia Tax Base Growth Factor	
5,190,713.40		
+ 64,590.00	Prior year PILOT receivable (FY2015/2016)	ACTUAL FOR 15/16 IS 63,346.35
5,255,303.40		
x <u>1.0031</u>	.31% tax cap limit	
5,271,594.84		
- <u>52,265.00</u>	PILOT receivable-up coming fiscal year (FY 2016/2017) per budget	
5,219,329.84	= Tax Levy Limit	
+ 80,193.74	Available carryover	
+ -	Net of transfer of Government Function (as determined by OSC)	
5,299,523.58		
+ -	Exclusion for court orders/judgments arising from tort (and tort only) actions for any amount in excess of 5% of the total taxes levied in the prior fiscal year	
5,299,523.58		
+ -	Pension exclusion	
<u>5,299,523.58</u>	Tax cap levy Limit	
(119,999.99)	BID	
<u>(22,641.45)</u>	Removed exemptions	
<u>5,156,882.14</u>	City's allowable property tax levy	

The proposed tax levy for FY 2017 is \$5,126,334, which is less than the allowable property tax levy, not requiring an override by City Council.

IMPACT ON TYPICAL HOUSEHOLD

This information can be extended to show the effect of the property tax rate on a typical household, with an assessed valuation of \$90,000. Under this scenario, the typical household would pay the City \$836 in property taxes. This pays for the following non-exhaustive list of services:

- Operation of yard waste station
- Prosecution and defense of all legal suits and proceedings
- Appraisal of real property
- Animal control
- Retention of vital records
- Professional fire suppression and prevention
- Hazardous material mitigation
- Traffic enforcement and control
- Community policing and criminal investigation
- School crossing guards
- Street maintenance and repairs
- Sign maintenance and repairs
- Maintenance of storm and sanitary sewers
- Street snow removal
- Maintenance of City trees
- Street cleaning
- Beautification efforts
- Support of community wide celebrations
- Provision of safe potable water
- Code enforcement and inspection of buildings and properties
- Youth services
- Summer youth recreation program
- Maintenance and repair of parks and playgrounds
- Leaf collection
- Community and economic development efforts
- Brownfield redevelopment
- Flood management and mitigation



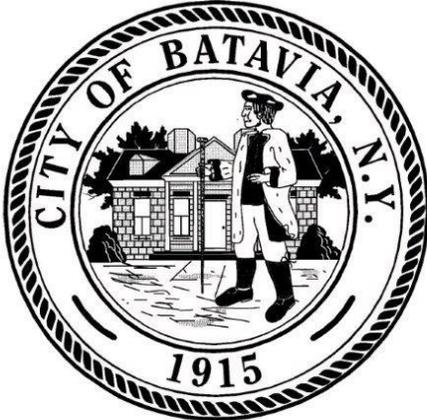
In addition, the City's share of total property tax can be compared to the County and the school district. For instance, the same household with a \$90,000 assessed valuation would pay \$886.40 in property taxes to Genesee County and an additional \$2,213.10 to the school district. Therefore, the City's share of the tax burden for a typical household is slightly less than that of the County and much less than that of the school district.

Top 10 Taxpayers

Taxpayer	Taxable Assessed Value
Niagara Mohawk dba Nat'l Grid	\$8,877,214
National Fuel Gas	\$7,018,081
Alan Riley/Tops Market	\$4,880,000
Chapin Manufacturing	\$4,500,000
Woodcrest Associates	\$4,180,500
Chapin International, Inc.	\$3,375,000
Woodcrest Associates	\$3,300,000
West Main Associates	\$4,161,300
Batavia Townhouses, LTD	\$4,000,000
Seneca Powers Partners, L.P.	\$4,000,000

SECTION 4

BUDGET REPORTS



Budget Summaries & Financial Overview

Introduction

The next several pages represent an overview of the entire City budget, with particular emphasis on the City’s major funds: general, water & wastewater. This section provides the reader with all of the financial information they need in evaluating and considering the budget. As has been discussed, great effort has been put forth to not only understand the proposal for FY2016-2017, but the three “out years” as well. The concept of a four-year budget is important because the decisions made today will impact the City’s budget tomorrow. Furthermore, this philosophy ties in well with the City Council’s efforts at strategic planning and operational excellence.

This section presents reports which can be found in the next several pages.

Revenue & Expenditures

- Budget Summary by Fund Type

Revenues

- Summary of All Revenues- General Fund
Summary of All Revenues- Water and Wastewater

Expenditures

- Summary of Expenditures- General Fund
- Summary of Expenditures- Water and Wastewater
- Summary of Expenditures by Category- General Fund
- Summary of Expenditures by Category- Water and Wastewater

In addition, below the reader will find discussion on several key indicators which further breakdown the components of the City budget and the foundation from the “numbers” are derived. These are presented in graphical form. This section begins with the following description of the City’s funds and fund type.

Description of Funds and Fund Type

For accounting purposes, a state or local government is not treated as a single, integral entity. Rather, a government is viewed instead as a collection of smaller, separate entities known as “funds.” The governmental Accounting Standards Board’s (GASB) Codification of Governmental Accounting and Financial Reporting Standards (Codification), Section 1300, defines a fund as:

A fiscal and accounting entity with a self-balanced set of accounts recording cash and other financial resources, together with related liabilities and residual equities or

balances, and changed therein, which are segregated for the purpose of carrying on specific activities or attaining certain objectives in accordance with special regulations, restrictions, or limitations.

All of the funds used by a government must be classified into one of seven “fund types”. Four of these fund types are used to account for a state or local government’s “governmental-type” activities and are known as “governmental funds.” Two of these funds types are used to account for a government’s “business-type” activities and are known as “proprietary funds.” Finally, the seventh fund type is reserved for a government’s “fiduciary activities.”

Basis of Budgeting

The City uses modified accrual as its basis for budgeting all funds, which is the same as the basis of accounting used in the City’s audited financial statements.

Fund Types

The accounts of the City are organized within self-balancing funds and account groups. Each fund and account group is a separate fiscal and accounting entity for the purpose of the carrying out specific activities or attaining objectives. The funds of the City consist of the following:

Governmental Fund Types- Governmental Funds are those through which most governmental functions of the City are focused. They generally focus on how cash and other financial assets can readily be converted to cash flow in and out and the balances left at year-end that are available for spending. . The acquisitions, use and balances of the City’s expendable financial resources and the related liabilities are accounted for through governmental funds. The measurement focus is based upon determination of financial position and changes in financial position. Four fund types are used to account for governmental-type activities. These are the general fund, special revenue funds, debt service funds, and capital projects funds. The following are the City’s Governmental Fund Types:

- **General Fund:** the principal operating fund of the City. It is used to account for all financial resources except those required to be accounted for in another fund. The General Fund is used to account for most of the day-to-day operations of the City, which are financed from property taxes and other general revenues. There can be only one general fund.
- **Capital Projects Fund-** used to account for and report financial resources to be used in the acquisition, construction, or renovation of major capital facilities or equipment.
- **Workers Compensation Fund** - houses the expenses the City experiences in providing workers compensation insurance coverage on their employees. It is funded by contributions from the General, Water and Wastewater Fund.
- **Small Cities Fund** - used to account for the activity of the City’s New York State Small Cities Block Grant and U.S. Department of Housing and Urban Development programs. ***This fund is not budgeted for.***

- **Special Grant Fund** – used to account for Community Development Block Grants and other federal and state grants not required to be accounted for in other funds. It also houses the business development loan fund which offers financial loans and grants to small businesses in the City of Batavia when conventional financing is unavailable. ***This fund is not budgeted for.***
- **Mall Maintenance Fund** -used to fund the mall concourse operations. The City prepares and forward to each mall merchant a maintenance bill for each fiscal year. The City then collects unpaid mall maintenance charges in the same manner as provided by law for the collection of unpaid real property taxes. In addition, the City provides accounting services related to the mall maintenance budget as adopted by the Mall Operating Committee.

Proprietary Funds – Proprietary Funds (also referred to as Enterprise Funds) are generally used to account for services for which the City charges customers (both external and internal). These funds use accrual accounting, which is the same method used by the private sector. Following are the City’s Proprietary Funds:

- **Water Fund** – used to account for the operations that provide water services and are financed primarily by user charges for these services.
- **Wastewater Fund**- used to account for the operations that provide wastewater services and are financed primarily by user charges for these services.

Fiduciary Fund Types- Fiduciary funds are used to account for assets held by the City in trustee or custodial capacity.

- **Private Purpose Trust and Agency Funds**- used to account for and report assets in the capacity of the trustee, custodian or agent for individuals, organizations, private organizations, other governments and/or funds. These include expendable and non-expendable trusts and agency funds. Agency funds are custodial in nature (assets equal liabilities) and do not measure results of operations. ***These funds are not budgeted for.***

City Fund Balances

Fund balance is a measurement of available financial resources and represents the difference between total assets and total liabilities in each fund. The purpose of this section is to graphically display the history of the City's fund balances for its three major funds: general, water & wastewater. To maintain the City's credit rating and meet seasonal cash flow shortfalls, the budget shall provide for an anticipated unreserved fund balance between 7% and 10% for these funds, of estimated annual expenditures.

Fund balance is a measurement of available financial resources and represents the difference between total assets and total liabilities in each fund.

APPROPRIATED GOVERNMENT FUNDS

General Fund	3/31/2013 balance	3/31/2014 balance	3/31/2015 balance	(1)				(2)		3/31/2017 estimated balance
				15/16 budgeted additions	15/16 budgeted expenditures	15/16 Assigned by council	3/31/2016 estimated balance	16/17 budgeted additions	16/17 budgeted expenditures	
Non Spendable Fund Balance										
Prepaid expenses	-	-	-	-	-	-	-	-	-	-
Restricted Fund Balance										
Liability insurance reserve	416,434	397,447	393,659	10,000	-	-	403,659	10,000	-	413,659
Health insurance reserve	472,302	498,155	499,675	-	-	-	499,675	-	(20,000)	479,675
Police reserve	51,053	41,145	19,205	-	(10,000)	6,805	16,010	-	(10,000)	6,010
Fire reserve	487,305	558,609	743,498	15,000	(54,940)	200,000	903,558	15,000	(18,900)	899,658
DPW reserve	538,113	221,927	247,084	15,000	(51,000)	56,090	267,174	15,000	(438,400)	(156,226)
Ice rink reserve	72,241	130,526	190,334	32,189	(8,000)	-	214,523	20,000	(82,000)	152,523
Dwyer stadium reserve	60,658	55,758	85,957	-	(12,900)	100,000	173,057	-	(40,000)	133,057
Facilities reserve	236,063	766,179	929,830	80,000	(25,000)	300,000	1,284,830	80,000	(35,000)	1,329,830
Sidewalk reserve	200,066	274,485	313,482	-	(318,558)	250,000	244,924	-	(103,330)	141,594
Employee Benefit Liability reserve	37	40,850	28,212	-	-	-	28,212	-	-	28,212
Retirement contribution reserve	376,109	386,783	422,999	10,000	(15,000)	-	417,999	-	(32,750)	385,249
Parking lot reserve	17,650	21,995	25,974	39,114	-	2,975	68,063	6,265	-	74,328
Administrative equipment reserve (2)	0	0	50,000	-	(45,394)	25,000	29,606	-	(16,350)	13,256
EMS Program state restricted	27,479	32,620	39,190	-	-	-	39,190	-	-	39,190
Total restricted fund balance	2,955,510	3,426,479	3,989,099	201,303	(540,792)	940,870	4,590,480	146,265	(796,730)	3,940,015
Committed fund balance										
Richmond Avenue	300,000	-	-	-	-	-	-	-	-	-
Vibrant Batavia	45,000	55,423	86,946	-	(45,000)	-	41,946	-	-	41,946
South Jackson/Otis	-	150,000	-	-	-	-	-	-	-	-
Summit/Otis	-	325,000	-	-	-	-	-	-	-	-
Comprehensive Plan Update	-	-	100,000	-	(100,000)	-	-	-	-	-
Total committed fund balance	345,000	530,423	186,946	-	(145,000)	-	41,946	-	-	41,946
Assigned Fund Balance										
Encumbrances	99,978	219,645	208,739	-	-	-	208,739	-	-	208,739
Appropriated fund balance	160,000	200,000	275,000	-	-	-	275,000	-	-	275,000
Total assigned fund balance	259,978	419,645	483,739	-	-	-	483,739	-	-	483,739
Unassigned Fund Balance										
	1,344,950	1,648,468	1,556,092	-	-	-	1,556,092	-	-	1,556,092
Total General Fund Balance	4,905,438	6,025,015	6,215,876	201,303	(685,792)	940,870	6,672,257	146,265	(796,730)	6,021,792
Workers Comp Fund										
Restricted Fund Balance										
Workers Comp Reserves	220,046	222,799	234,221	24,370	(30,000)	-	228,591	75,000	-	303,591
Assigned Fund Balance										
Total assigned fund balance	134,672	98,653	156,242	-	-	-	156,242	-	-	156,242
Total Workers Comp Fund Balance	354,718	321,452	390,463	24,370	(30,000)	-	384,833	75,000	-	459,833

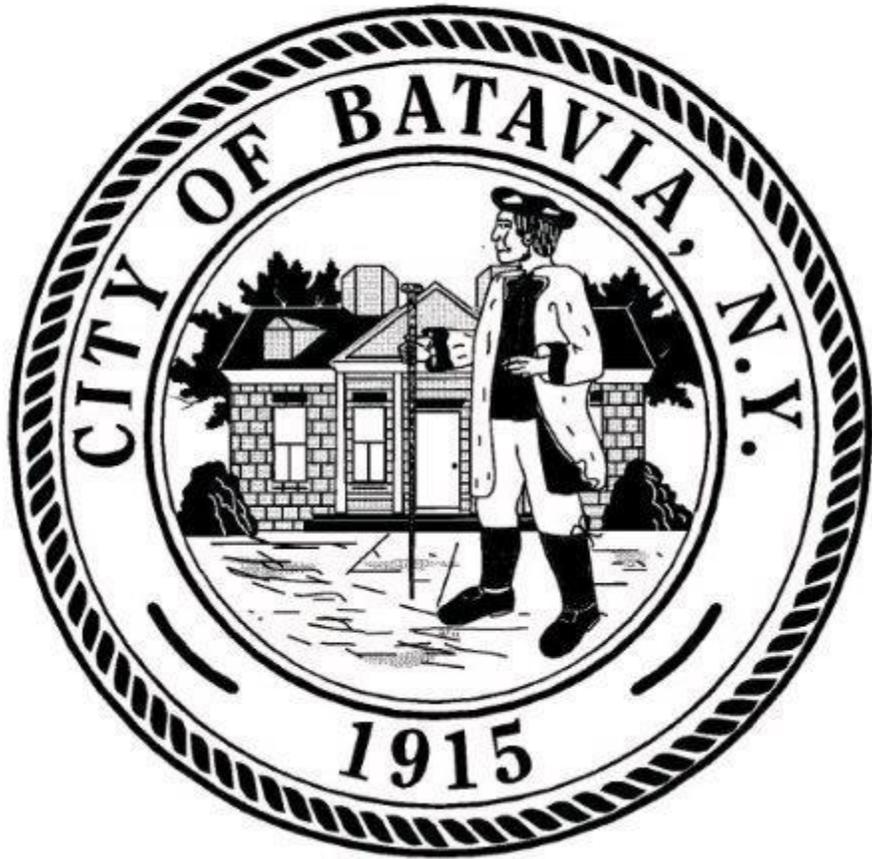
(1) estimated balance does not include interest earned or expenditures below budgeted levels.
(2) proposed for approval prior to March 31, 2016.

FUND BALANCE- MAJOR/NON MAJOR FUNDS

Major Funds General Fund	3/31/2013 balance	3/31/2014 balance	3/31/2015 balance	15/16 budgeted additions	15/16 budgeted expenditures	15/16 Assigned by council	(1) 3/31/2016 estimated balance	(2) 16/17 budgeted additions	(2) 16/17 budgeted expenditures	3/31/2017 estimated balance
Non Spendable Fund Balance										
Prepaid expenses	-	-	-	-	-	-	-	-	-	-
Restricted Fund Balance										
Liability insurance reserve	416,434	397,447	393,659	10,000	-	-	403,659	10,000	-	413,659
Health insurance reserve	472,302	498,155	499,675	-	-	-	499,675	-	(20,000)	479,675
Police reserve	51,053	41,145	19,205	-	(10,000)	6,805	16,010	-	(10,000)	6,010
Fire reserve	487,305	558,609	743,498	15,000	(54,940)	200,000	903,558	15,000	(18,900)	899,658
DPW reserve	538,113	221,927	247,084	15,000	(51,000)	56,090	267,174	15,000	(438,400)	(156,226)
Ice rink reserve	72,241	130,526	190,334	32,189	(8,000)	-	214,523	20,000	(82,000)	152,523
Dwyer stadium reserve	60,658	55,758	85,957	-	(12,900)	100,000	173,057	-	(40,000)	133,057
Facilities reserve	236,063	766,179	929,830	80,000	(25,000)	300,000	1,284,830	80,000	(35,000)	1,329,830
Sidewalk reserve	200,066	274,485	313,482	-	(318,558)	400,000	394,924	-	(103,330)	291,594
Employee Benefit Liability reserve	37	40,850	28,212	-	-	-	28,212	-	-	28,212
Retirement contribution reserve	376,109	386,783	422,999	10,000	(15,000)	-	417,999	-	(32,750)	385,249
Parking lot reserve	17,650	21,995	25,974	39,114	-	2,975	68,063	6,265	-	74,328
Administrative equipment reserve (2)	0	0	50,000	-	(45,394)	25,000	29,606	-	(16,350)	13,256
EMS Program state restricted	27,479	32,620	39,190	-	-	-	39,190	-	-	39,190
Total restricted fund balance	2,955,510	3,426,479	3,989,099	201,303	(540,792)	1,090,870	4,740,480	146,265	(796,730)	4,090,015
Committed fund balance										
Richmond Avenue	300,000	-	-	-	-	-	-	-	-	-
Vibrant Batavia	45,000	55,423	86,946	-	(45,000)	-	41,946	-	-	41,946
South Jackson/Otis	-	150,000	-	-	-	-	-	-	-	-
Summit/Otis	-	325,000	-	-	-	-	-	-	-	-
Comprehensive Plan Update	-	-	100,000	-	(100,000)	-	-	-	-	-
Total committed fund balance	345,000	530,423	186,946	-	(145,000)	-	41,946	-	-	41,946
Assigned Fund Balance										
Encumbrances	99,978	219,645	208,739	-	-	-	208,739	-	-	208,739
Appropriated fund balance	160,000	200,000	275,000	-	-	-	275,000	-	-	275,000
Total assigned fund balance	259,978	419,645	483,739	-	-	-	483,739	-	-	483,739
Unassigned Fund Balance										
	1,344,950	1,648,468	1,556,092	-	-	-	1,648,468	-	-	1,648,468
Total General Fund Balance	4,905,438	6,025,015	6,215,876	201,303	(685,792)	1,090,870	6,914,633	146,265	(796,730)	6,264,168
% change		23% (a)	3%				11% (b)			-9%
Capital Fund										
Unassigned Fund Balance										
	N/A	(202,772)	(32,994)	-	-	-	(32,994)	-	-	(32,994)
Assigned Fund Balance										
	N/A	-	-	-	-	-	-	-	-	-
Total Capital Fund Balance	N/A	(202,772)	(32,994)	-	-	-	(32,994)	-	-	(32,994)
% change							0%			0%
Non-Major Government Funds (aggregate):										
Restricted Fund Balance										
Total restricted fund balance	468,757	508,005	561,838	-	-	-	561,838	-	-	561,838
Assigned Fund Balance										
Total assigned fund balance	491,513	371,218	460,712	-	-	-	460,712	-	-	460,712
Total Non-Major Government Fund Balance	960,270	879,223	1,022,550				1,022,550			1,022,550
% change		-8%	16% (c)				0%			0%

(1) estimated balance does not include interest earned or expenditures below budgeted levels.
 (2) proposed for approval prior to March 31, 2015.
 (3) the City intends to transfer funds in the 15/16 fiscal year.
 N/A In the fiscal year ending March 31, 2013 the Capital Fund did not qualify as a major fund, therefore its fund balance is included in the non-major government funds aggregate totals for that year.

- (a) 3/31/2014 Factors that contributed to the City having a surplus in fund balance were primarily one-time revenue receipts above budget or lower than expected expenses. These factors include: sales tax receipts which were \$243,528 over budget; retirement contributions which were \$530,462 under budget; and healthcare expenditures, which were \$233,982 under budget. Furthermore, there were several personnel vacancies throughout a portion of the year due to retirements. It should be noted that sales tax revenue is economically sensitive and is subject to volatile changes in receipts. Retirement contributions have not been consistent with actual retirement payments and have resulted in fluctuations in payments versus budget, creating skepticism and a lack of confidence in New York State retirement projections in past years. The primary factors responsible for the 2013/2014 surplus have not continued into the 2014/2015 year.
- (b) 3/31/2016 The increase in the City's fund balance at 3/31/16 is attributed to the funding of reserves. Specific reserves that will have increased significantly are Fire, Facilities and Sidewalk. These particular reserves have increased due to anticipated expenditures in each of these areas. The probable replacement of the fire department's ladder truck, the anticipation of a new or renovated police station in the near future and the concentrated effort in replacing sidewalks as a City-wide effort in addition to a Transportation Alternatives Program grant the City has received for sidewalk replacement.
- (c) 3/31/2015 Workers Compensation Fund Balance increased as the result of increased contributions received from the General Fund, Water Fund and Wastewater Fund to fund increases in workers compensation premiums the City has been experiencing.



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SECTION 5

FUNDS & DEPARTMENT DETAIL



FUND DESCRIPTIONS AND STRUCTURE

General Fund - the General Fund is the principal operating fund of the City. It is used to account for all financial resources except those required to be accounted for in another fund. The General Fund is used to account for most of the day-to-day operations of the City, which are financed from property taxes and other general revenues. There can be only one general fund.

Enterprise Fund - Enterprise funds (also known as Proprietary Funds) are generally used to account for services for which the City charges customers (both external and internal). These funds use accrual accounting, which is the same method used by the private sector. The City of Batavia has two enterprise funds: water and wastewater.

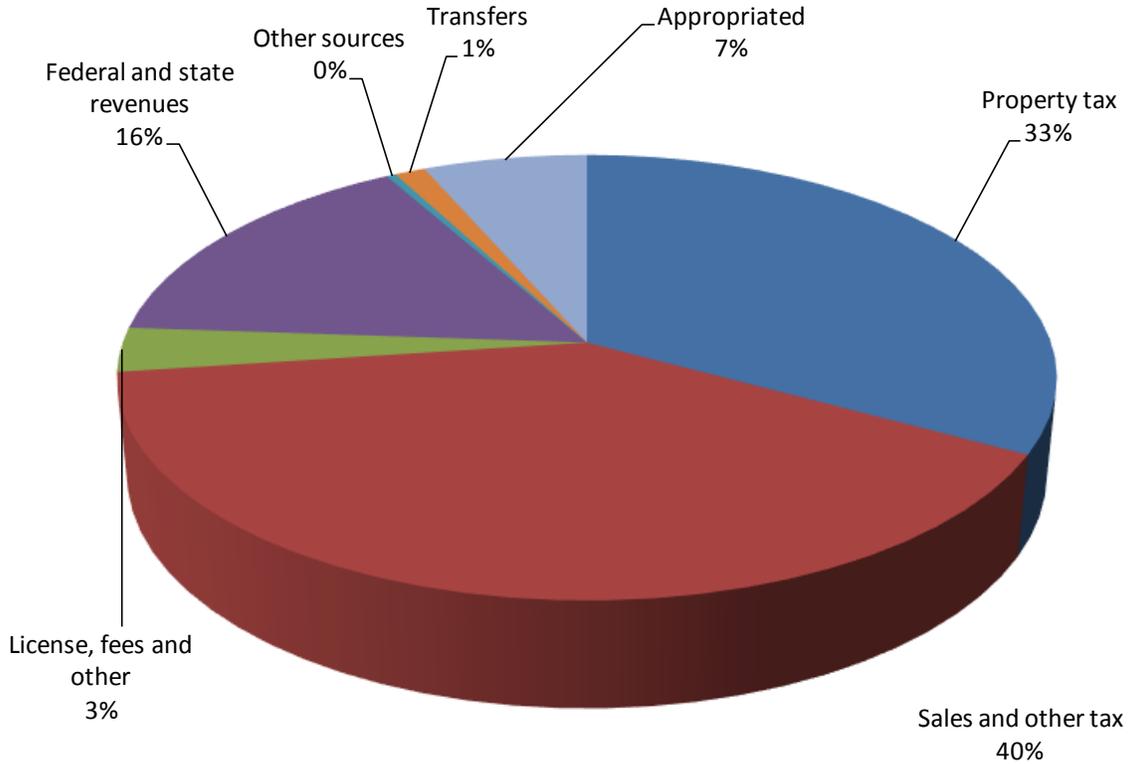
GENERAL FUND BUDGET SUMMARY

	Actual 14/15	Budget 15/16	YTD Actual* 15/16	Projected 15/16	Proposed 16/17	17/18	Projected 18/19	19/20
REVENUES:								
Real property tax	(4,936,970.36)	(5,119,753.00)	(5,041,556.33)	(5,119,753.00)	(5,126,334.00)	(5,333,765.11)	(5,744,661.95)	(6,055,997.24)
Real property tax items	(333,194.74)	(239,590.00)	(183,533.54)	(216,868.00)	(242,265.00)	(248,321.63)	(254,529.67)	(260,892.91)
Sales and other taxes	(6,489,747.45)	(6,570,000.00)	(3,332,709.74)	(6,463,000.00)	(6,515,000.00)	(6,585,925.00)	(6,657,703.63)	(6,730,348.02)
Departmental income	(274,611.25)	(298,949.00)	(137,699.44)	(306,689.00)	(277,961.00)	(284,137.16)	(290,465.00)	(296,948.27)
Use of money and property	(59,597.57)	(51,500.00)	(62,000.24)	(55,080.00)	(26,980.00)	(27,654.50)	(28,345.86)	(29,054.51)
Licenses and permits	(71,213.79)	(85,300.00)	(71,018.35)	(85,300.00)	(90,000.00)	(92,250.00)	(94,556.25)	(96,920.16)
Fines and forfeitures	(127,993.70)	(108,608.00)	(100,112.88)	(150,500.00)	(125,500.00)	(128,637.50)	(131,853.44)	(135,149.77)
Sales of poperty and compensation for loss	(116,920.42)	(3,300.00)	(70,816.99)	(73,637.94)	(3,300.00)	(3,382.50)	(3,467.06)	(3,553.74)
Miscellaneous local sources	(606,508.09)	(75,370.00)	(530,908.93)	(578,806.00)	(60,540.00)	(62,053.50)	(63,604.84)	(65,194.96)
Federal and state sources	(2,320,032.59)	(2,255,142.00)	(1,958,642.33)	(2,328,613.00)	(2,564,960.00)	(2,247,902.25)	(2,250,897.56)	(2,253,967.75)
Transfers in and debt	(3,223,027.79)	(230,500.00)	(1,076,303.00)	(230,500.00)	(200,000.00)	(175,000.00)	(150,000.00)	(125,000.00)
Appropriated reserves	(1,364,900.02)	(535,872.00)	-	-	(796,730.00)	-	-	-
Appropriated fund balance	-	(275,000.00)	-	(275,000.00)	(275,000.00)	(275,000.00)	(275,000.00)	(283,250.00)
TOTAL GENERAL FUND REVENUES	(19,924,717.77)	(15,848,884.00)	(12,565,301.77)	(15,883,746.94)	(16,304,570.00)	(15,464,029.15)	(15,945,085.24)	(16,336,277.32)
EXPENDITURES:								
General Government Services								
Reserves	203,599.00	201,303.00	-	201,303.00	146,265.00	146,265.00	272,760.00	291,416.00
Council	48,934.88	51,700.00	31,714.80	51,773.75	56,700.00	52,172.60	52,659.06	53,159.80
City manager	162,182.68	178,330.00	119,640.71	159,211.99	180,430.00	184,940.75	189,564.27	194,303.38
Legal services	248,440.36	217,050.00	143,444.71	221,055.00	219,800.00	224,196.00	228,679.92	233,253.52
Contingency	-	250,000.00	-	230,000.00	250,000.00	250,000.00	250,000.00	250,000.00
Community development	54,759.11	20,000.00	49,583.44	18,600.00	20,000.00	20,000.00	20,000.00	20,000.00
Economic development	4,850.00	-	-	-	-	-	-	-
Council on arts	2,250.00	2,250.00	2,250.00	2,250.00	5,000.00	5,000.00	5,000.00	5,000.00
Community celebrations	11,286.98	15,870.00	8,587.04	14,472.00	17,870.00	17,056.00	17,482.40	17,919.46
Debt service - Bonds	3,408,025.22	525,125.00	471,179.18	525,125.00	512,575.00	478,475.02	466,665.02	453,930.02
Debt service - BAN	31,287.63	16,953.00	2,119.10	16,953.00	-	-	-	-
Install. purchase debt - municipal lease	7,256.85	7,256.00	7,256.86	7,256.00	35,843.00	35,843.00	35,843.00	35,843.00
Debt service - energy lease	71,099.75	73,255.00	73,255.10	73,255.00	75,475.00	77,762.38	80,117.32	82,543.29
Other government debt	93,603.33	94,512.00	94,511.94	94,512.00	96,027.00	-	-	-
Transfers out	1,787,226.39	-	1,076,303.00	125,000.00	-	-	-	-
Transfers for capital projects	664,471.94	-	125,000.00	-	-	-	-	-
Transfers to other funds	378,940.00	398,230.00	398,230.00	398,230.00	322,090.00	342,206.30	363,657.84	386,535.90
Total General Government Services	7,178,214.12	2,051,834.00	2,603,075.88	2,138,996.74	1,938,075.00	1,833,917.05	1,982,428.83	2,023,904.36
Administrative Services								
Finance	112,589.27	170,906.00	98,103.93	154,319.00	138,610.00	136,950.25	140,374.01	143,883.36
Administrative services	280,655.89	313,460.00	285,266.61	316,253.70	329,050.00	343,251.75	358,110.44	373,657.60
Clerk/Treasurer	133,807.70	146,315.00	126,948.96	160,089.00	134,000.00	137,350.00	140,783.75	144,303.34
Assessment	127,853.99	145,072.00	81,503.66	137,152.00	145,952.00	148,832.05	152,552.85	156,366.67
Personnel	138,315.27	524,430.00	114,114.15	131,883.20	487,860.00	489,418.35	496,344.34	503,390.38
Elections	34,735.00	11,835.00	11,835.00	11,835.00	18,210.00	20,000.00	20,000.00	20,000.00
Information systems	117,713.92	74,169.00	56,647.80	74,169.00	79,575.00	77,771.75	80,104.90	82,508.05
Control of dogs	1,172.96	1,310.00	1,055.17	1,310.00	1,310.00	1,342.75	1,376.32	1,410.73
Vital statistics	17,223.70	18,960.00	13,074.22	18,130.00	19,040.00	19,516.00	20,003.90	20,504.00
Summer recreation	62,122.01	68,000.00	56,507.92	62,027.00	69,195.00	70,617.38	72,382.81	74,192.38
Youth service	145,493.20	194,715.00	114,008.89	163,255.00	169,165.00	173,394.13	177,728.98	182,172.20
Medical insurance	1,477,914.96	12,030.00	1,249,510.18	1,658,640.00	10,070.00	10,321.75	10,579.79	10,844.29
Total Administrative Services	2,649,597.87	1,681,202.00	2,208,576.49	2,889,062.90	1,602,037.00	1,628,766.15	1,670,342.09	1,713,233.00
Police	3,418,222.67	3,985,690.00	2,487,682.83	3,487,717.36	4,018,010.00	4,104,987.35	4,214,508.13	4,326,958.82
Fire	3,552,490.24	3,850,160.00	2,493,056.02	3,223,664.66	3,896,092.00	3,967,902.40	4,074,137.67	4,183,222.35
Public Works								
Engineering	20,517.59	32,000.00	31,569.00	47,000.00	32,000.00	32,640.00	33,292.80	33,958.66
Public works administration	87,736.99	111,600.00	62,051.67	93,315.00	104,860.00	107,481.50	110,168.54	112,922.75
City facilities	201,009.35	267,740.00	210,971.85	313,348.83	359,670.00	243,611.75	249,702.04	255,944.59
Inspection	315,847.51	329,965.00	211,258.38	286,103.00	342,130.00	350,683.25	359,450.33	368,436.59
Maintenance administration	173,282.73	211,750.00	122,287.70	168,458.00	198,350.00	202,847.50	207,918.69	213,116.65
Street maintenance	593,284.05	607,115.00	495,834.32	598,728.00	811,395.00	573,689.38	583,031.61	592,607.40
Public works garage	433,319.28	495,345.00	286,982.06	477,281.00	497,222.00	497,222.00	509,652.55	522,393.86
Snow removal	471,719.44	541,830.00	172,720.16	512,418.56	617,039.00	545,339.98	558,973.47	572,947.81
Street lighting & traffic signals	257,096.92	279,360.00	157,224.06	282,959.00	283,340.00	290,423.50	297,684.09	305,126.19
Sidewalk repairs	14,047.85	318,558.00	13,622.24	338,558.00	259,990.00	-	-	-
Parking lots	28,725.75	-	-	-	35,200.00	57,690.35	41,377.02	32,857.56
Parks	605,860.75	616,350.00	437,292.39	567,854.04	675,070.00	618,761.75	634,230.79	650,086.56
Historic preservation	853.94	2,395.00	373.85	2,395.00	2,100.00	2,121.00	2,142.21	2,163.63
Planning & zoning boards	1,738.85	3,200.00	1,551.69	3,200.00	3,200.00	3,232.00	3,264.32	3,296.96
Storm sewer	121,480.35	217,150.00	117,309.65	211,201.25	238,320.00	207,480.50	212,667.51	217,984.20
Refuse & recycling	57,045.86	62,430.00	45,218.23	62,430.00	58,680.00	60,147.00	61,650.68	63,191.94
Street cleaning	83,959.27	139,270.00	97,176.44	116,014.00	331,790.00	135,084.75	138,461.87	141,923.42
Total Public Works	3,467,526.48	4,236,058.00	2,463,443.69	4,081,263.68	4,850,356.00	3,928,456.20	4,003,668.52	4,088,958.78
TOTAL GENERAL FUND EXPENDITURES	20,266,051.38	15,804,944.00	12,255,834.91	15,820,705.34	16,304,570.00	15,464,029.15	15,945,085.24	16,336,277.32

* as of 12/21/2015

GENERAL FUND REVENUES

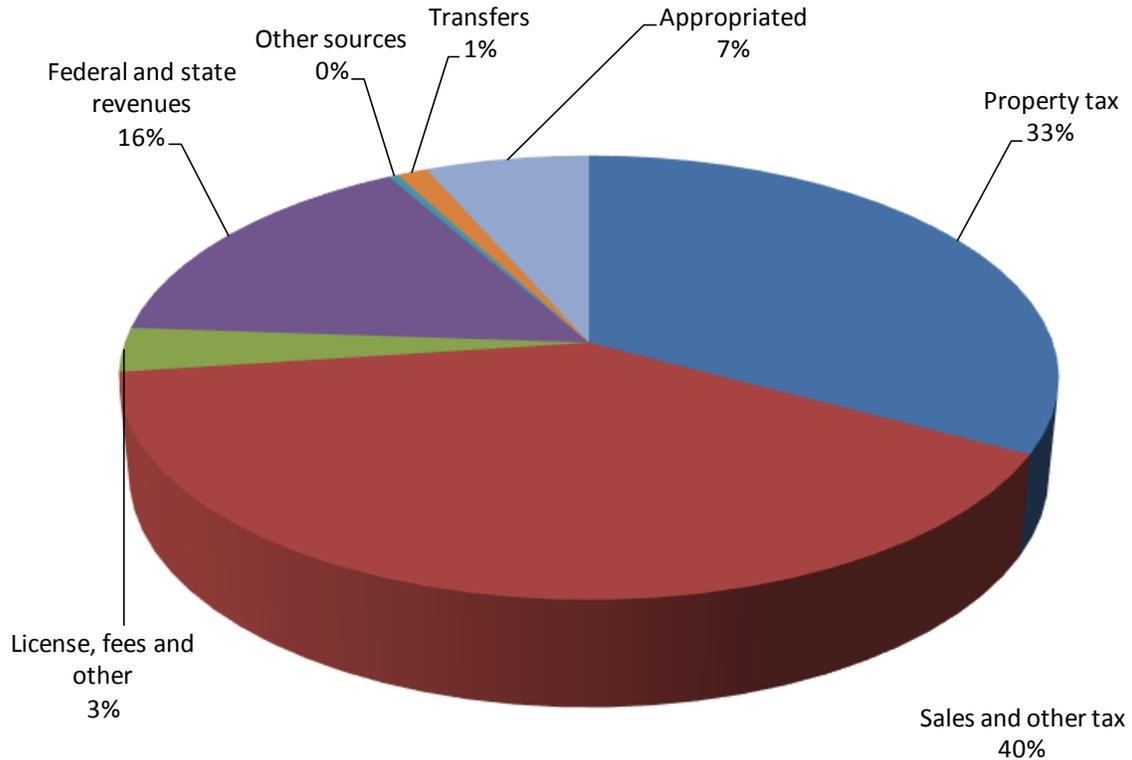
2016/2017



	15/16 Projected		16/17 Budget	
	<u>Amount</u>	<u>Percent</u>	<u>Amount</u>	<u>Percent</u>
Property tax	\$ (5,336,621.00)	34%	\$ (5,368,599.00)	33%
Sales and other tax	(6,463,000.00)	41%	(6,515,000.00)	40%
License, fees and other	(671,206.94)	4%	(523,741.00)	3%
Federal and state revenues	(2,328,613.00)	15%	(2,564,960.00)	16%
Other sources	(578,806.00)	4%	(60,540.00)	0%
Transfers	(230,500.00)	1%	(200,000.00)	1%
Appropriated	(275,000.00)	2%	(1,071,730.00)	7%
TOTAL REVENUES	\$ (15,883,746.94)	100%	\$ (16,304,570.00)	100%

GENERAL FUND EXPENSE SUMMARY

2016/2017

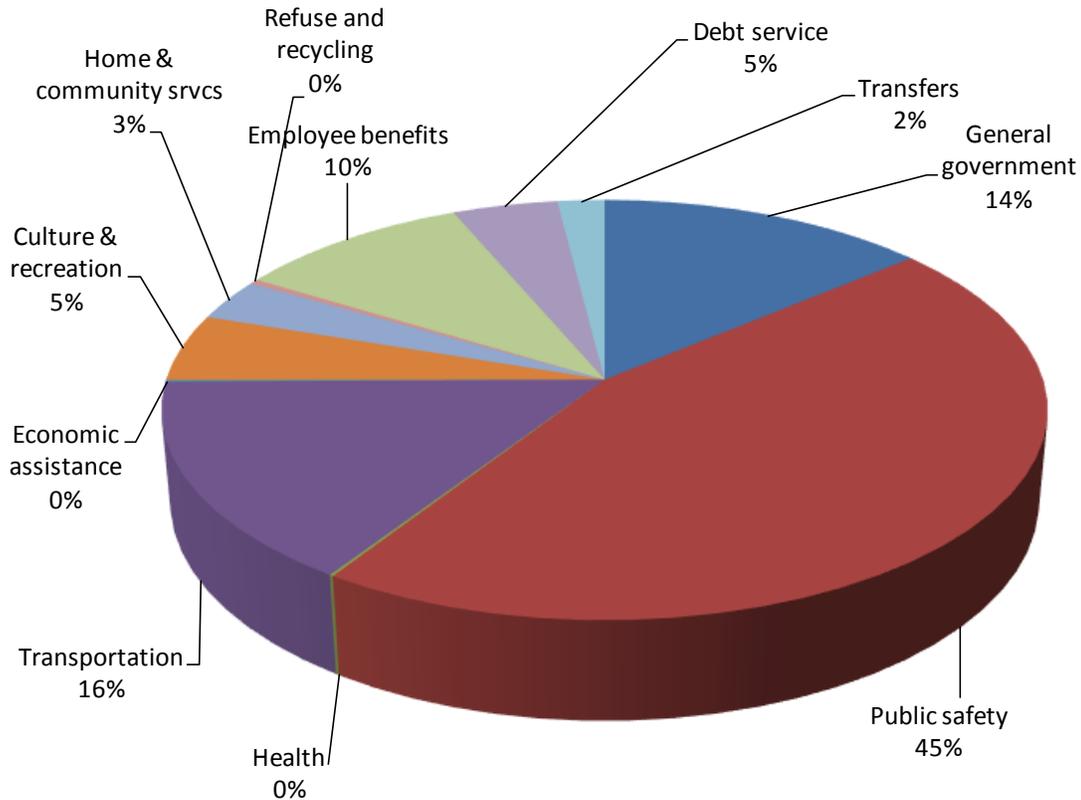


	15/16 Projected		16/17 Budget	
	Amount	Percent	Amount	Percent
Property tax	\$ (5,336,621.00)	34%	\$ (5,368,599.00)	33%
Sales and other tax	(6,463,000.00)	41%	(6,515,000.00)	40%
License, fees and other	(671,206.94)	4%	(523,741.00)	3%
Federal and state revenues	(2,328,613.00)	15%	(2,564,960.00)	16%
Other sources	(578,806.00)	4%	(60,540.00)	0%
Transfers	(230,500.00)	1%	(200,000.00)	1%
Appropriated	(275,000.00)	2%	(1,071,730.00)	7%
TOTAL REVENUES	\$ (15,883,746.94)	100%	\$ (16,304,570.00)	100%

GENERAL FUND EXPENSES BY FUNCTION

	Actual	Budget	Projected	Proposed	Projected		
	14/15	15/16	15/16	16/17	17/18	18/19	19/20
General Government							
Reserves	203,599.00	201,303.00	201,303.00	146,265.00	146,265.00	272,760.00	291,416.00
Council	48,934.88	51,700.00	51,773.75	56,700.00	52,172.60	52,659.06	53,159.80
City manager	162,182.68	178,330.00	159,211.99	160,700.00	184,940.75	189,564.27	194,303.38
Finance	112,589.27	170,906.00	154,319.00	123,640.00	136,950.25	140,374.01	143,883.36
Administrative services	280,655.89	313,460.00	316,253.70	326,550.00	343,251.75	358,110.44	373,657.60
Clerk/Treasurer	133,807.70	146,315.00	160,089.00	122,750.00	137,350.00	140,783.75	144,303.34
Assessment	127,853.99	145,072.00	137,152.00	138,442.00	148,832.05	152,552.85	156,366.67
Legal services	248,440.36	217,050.00	221,055.00	219,800.00	224,196.00	228,679.92	233,253.52
Personnel	138,315.27	524,430.00	131,883.20	137,400.00	489,418.35	496,344.34	503,390.38
Engineering	20,517.59	32,000.00	47,000.00	32,000.00	32,640.00	33,292.80	33,958.66
Elections	34,735.00	11,835.00	11,835.00	18,210.00	20,000.00	20,000.00	20,000.00
Public works administration	87,736.99	111,600.00	93,315.00	94,960.00	107,481.50	110,168.54	112,922.75
City facilities	201,009.35	267,740.00	313,348.83	348,970.00	243,611.75	249,702.04	255,944.59
Information systems	117,713.92	74,169.00	74,169.00	79,575.00	77,771.75	80,104.90	82,508.05
Contingency	-	250,000.00	230,000.00	250,000.00	250,000.00	250,000.00	250,000.00
Total General Government	1,918,091.89	2,695,910.00	2,302,708.47	2,255,962.00	2,594,881.75	2,775,096.93	2,849,068.10
Public Safety							
Police	3,418,222.67	3,985,690.00	3,487,717.36	3,563,720.00	4,104,987.35	4,214,508.13	4,326,958.82
Fire	3,552,490.24	3,850,160.00	3,223,664.66	3,528,852.00	3,967,902.40	4,074,137.67	4,183,222.35
Control of dogs	1,172.96	1,310.00	1,310.00	1,310.00	1,342.75	1,376.32	1,410.73
Inspection	315,847.51	329,965.00	286,103.00	296,400.00	350,683.25	359,450.33	368,436.59
Total Public Safety	7,287,733.38	8,167,125.00	6,998,795.02	7,390,282.00	8,424,915.75	8,649,472.45	8,880,028.49
Health							
Vital statistics	17,223.70	18,960.00	18,130.00	18,410.00	19,516.00	20,003.90	20,504.00
Total Health	17,223.70	18,960.00	18,130.00	18,410.00	19,516.00	20,003.90	20,504.00
Transportation							
Maintenance administration	173,282.73	211,750.00	168,458.00	173,550.00	202,847.50	207,918.69	213,116.65
Street maintenance	593,284.05	607,115.00	598,728.00	757,435.00	573,689.38	583,031.61	592,607.40
Public works garage	433,319.28	495,345.00	477,281.00	443,782.00	497,222.00	509,652.55	522,393.86
Snow removal	471,719.44	541,830.00	512,418.56	587,609.00	545,339.98	558,973.47	572,947.81
Street lighting & traffic signals	257,096.92	279,360.00	282,959.00	279,770.00	290,423.50	297,684.09	305,126.19
Sidewalk repairs	14,047.85	318,558.00	338,558.00	259,990.00	-	-	-
Parking lots	28,725.75	-	-	35,200.00	57,690.35	41,377.02	32,857.56
Total Transportation	1,971,476.02	2,453,958.00	2,378,402.56	2,537,336.00	2,167,212.70	2,198,637.43	2,239,049.47
Economic Assistance							
Community development	54,759.11	20,000.00	18,600.00	20,000.00	20,000.00	20,000.00	20,000.00
Economic development	4,850.00	-	-	-	-	-	-
Total Economic Assistance	59,609.11	20,000.00	18,600.00	20,000.00	20,000.00	20,000.00	20,000.00
Culture and Recreation							
Council on arts	2,250.00	2,250.00	2,250.00	5,000.00	5,000.00	5,000.00	5,000.00
Parks	605,860.75	616,350.00	567,854.04	594,140.00	618,761.75	634,230.79	650,086.56
Summer recreation	62,122.01	68,000.00	62,027.00	68,565.00	70,617.38	72,382.81	74,192.38
Youth service	145,493.20	194,715.00	163,255.00	159,775.00	173,394.13	177,728.98	182,172.20
Historic preservation	853.94	2,395.00	2,395.00	2,100.00	2,121.00	2,142.21	2,163.63
Community celebrations	11,286.98	15,870.00	14,472.00	16,640.00	17,056.00	17,482.40	17,919.46
Total Culture and Recreation	827,866.88	899,580.00	812,253.04	846,220.00	886,950.25	908,967.19	931,534.24
Home and Community Services							
Planning & zoning boards	1,738.85	3,200.00	3,200.00	3,200.00	3,232.00	3,264.32	3,296.96
Storm sewer	121,480.35	217,150.00	211,201.25	209,550.00	207,480.50	212,667.51	217,984.20
Street cleaning	83,959.27	139,270.00	116,014.00	310,950.00	135,084.75	138,461.87	141,923.42
Total Home and Community Services	207,178.47	359,620.00	330,415.25	523,700.00	345,797.25	354,399.70	363,204.58
Refuse and Recycling	57,045.86	62,430.00	62,430.00	58,680.00	60,147.00	61,650.68	63,191.94
Employee Benefits							
Medical insurance	1,477,914.96	12,030.00	1,658,640.00	1,611,970.00	10,321.75	10,579.79	10,844.29
Total Employee Benefits	1,477,914.96	12,030.00	1,658,640.00	1,611,970.00	10,321.75	10,579.79	10,844.29
Debt Service:							
Principal							
Bonds	360,000.00	385,000.00	385,000.00	385,000.00	363,000.00	363,000.00	362,000.00
BAN	-	-	-	-	-	-	-
Install. purchase debt - municipal lease	6,598.82	6,719.00	6,719.00	29,397.00	29,397.00	29,397.00	29,397.00
Energy lease	60,429.06	63,702.00	63,702.00	67,101.00	70,629.49	74,291.08	78,091.43
Other government debt	86,250.00	90,000.00	90,000.00	94,500.00	-	-	-
Total Principal	513,277.88	545,421.00	545,421.00	575,998.00	463,026.49	466,688.08	469,488.43
Interest							
Bonds	3,048,025.22	140,125.00	140,125.00	127,575.00	115,475.02	103,665.02	91,930.02
BAN	31,287.63	16,953.00	16,953.00	-	-	-	-
Install. purchase debt - municipal lease	658.03	537.00	537.00	6,446.00	6,446.00	6,446.00	6,446.00
Energy lease	10,670.69	9,553.00	9,553.00	8,374.00	7,132.89	5,826.24	4,451.86
Other government debt	7,353.33	4,512.00	4,512.00	1,527.00	-	-	-
Total Interest	3,097,994.90	171,680.00	171,680.00	143,922.00	129,053.91	115,937.26	102,827.88
Total Debt Service	3,611,272.78	717,101.00	717,101.00	719,920.00	592,080.40	582,625.34	572,316.31
Transfers							
Out	1,787,226.39	-	125,000.00	-	-	-	-
For capital projects	664,471.94	-	-	-	-	-	-
To other funds	378,940.00	398,230.00	398,230.00	322,090.00	342,206.30	363,657.84	386,535.90
Total Transfers	2,830,638.33	398,230.00	523,230.00	322,090.00	342,206.30	363,657.84	386,535.90
TOTAL GENERAL FUND EXPENDITURES	20,266,051.38	15,804,944.00	15,820,705.34	16,304,570.00	15,464,029.15	15,945,085.24	16,336,277.32

GENERAL FUND EXPENSE BY FUNCTION 2016/2017

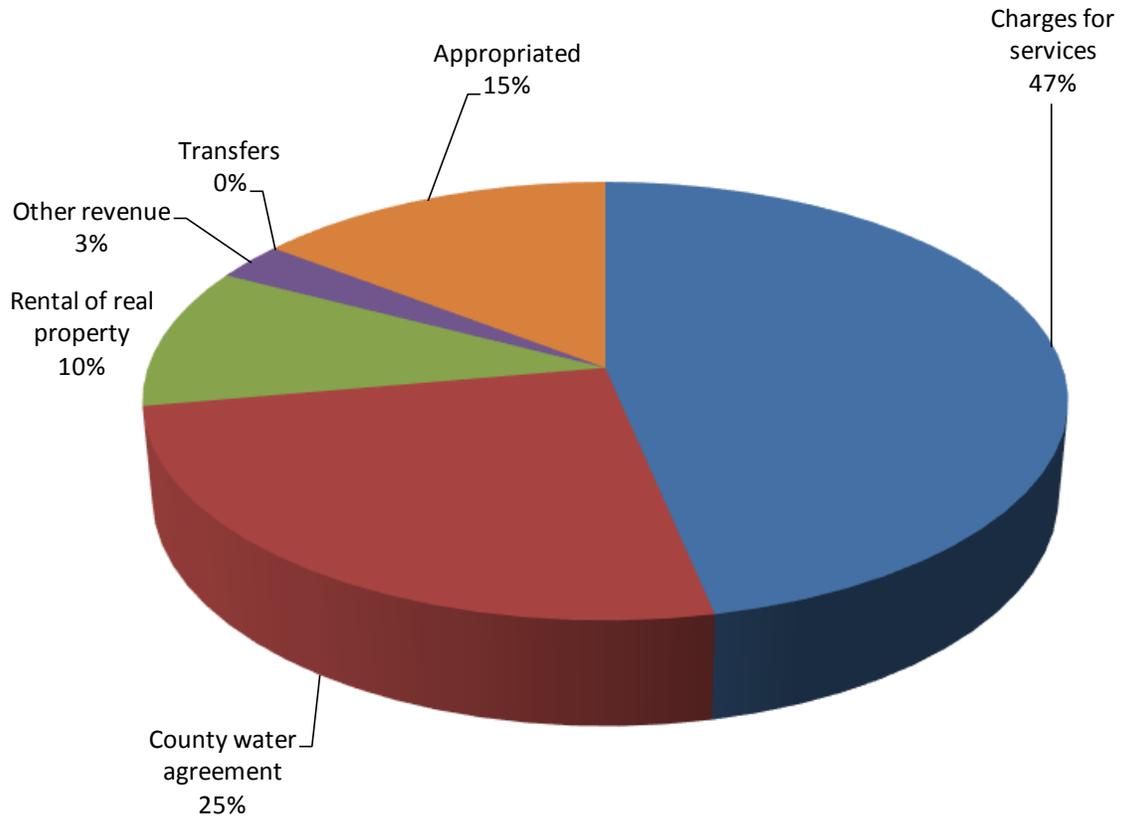


	15/16 Projected		16/17 Budget	
	Amount	Percent	Amount	Percent
General government	\$ 2,302,708.47	15%	\$ 2,255,962.00	14%
Public safety	6,998,795.02	44%	7,390,282.00	45%
Health	18,130.00	0.1%	18,410.00	0.1%
Transportation	2,378,402.56	15%	2,537,336.00	16%
Economic assistance	18,600.00	0.1%	20,000.00	0.1%
Culture and recreation	812,253.04	5%	846,220.00	5%
Home & community svcs	330,415.25	2%	523,700.00	3%
Refuse and recycling	62,430.00	0.4%	58,680.00	0.4%
Employee benefits	1,658,640.00	10%	1,611,970.00	9.9%
Debt service	717,101.00	5%	719,920.00	4%
Transfers	523,230.00	3%	322,090.00	2%
TOTAL REVENUES	\$ 15,820,705.34	100%	\$ 16,304,570.00	100%

WATER FUND BUDGET SUMMARY

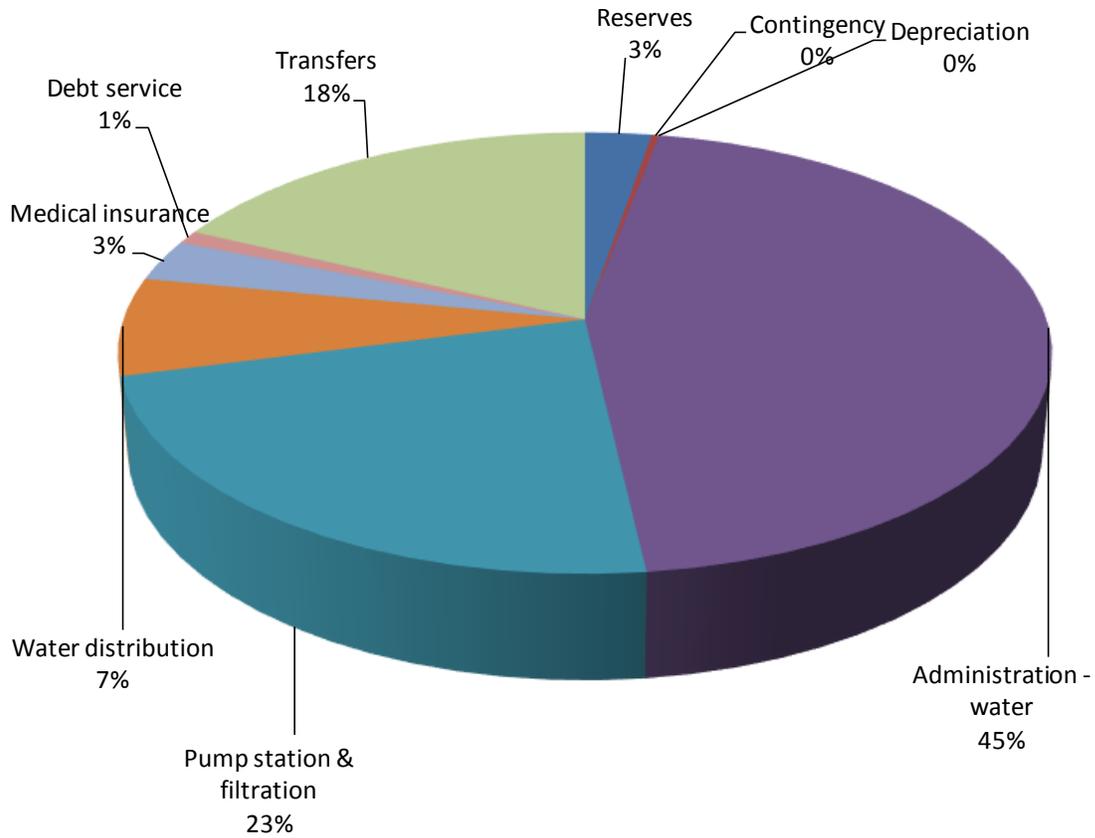
	Actual	Budget	Projected	Proposed	Projected		
	14/15	15/16	15/16	16/17	17/18	18/19	19/20
VENUES:							
Charges for services	(2,394,946.30)	(2,449,654.00)	(2,432,500.00)	(2,465,547.00)	(2,587,094.20)	(2,658,906.92)	(2,732,782.10)
County water agreement charges	(1,426,233.65)	(1,347,170.00)	(1,347,170.00)	(1,344,083.00)	(1,374,319.25)	(1,407,231.23)	(1,440,966.01)
Rental of real property	(550,000.00)	(550,000.00)	(550,000.00)	(550,000.00)	(550,000.00)	(550,000.00)	(550,000.00)
Other operating revenue	(91,055.83)	(129,862.00)	(150,482.00)	(146,739.00)	(158,357.43)	(173,089.42)	(189,264.43)
Interest income	(9,638.63)	(1,000.00)	(5,345.00)	(1,000.00)	(1,000.00)	(1,000.00)	(1,000.00)
Transfers in	(163,502.77)	-	(142,507.00)	-	-	-	-
Appropriated reserves	-	(345,000.00)	(345,000.00)	(768,151.00)	(51,950.54)	(52,192.49)	(50,935.64)
TOTAL WATER FUND REVENUES	(4,635,377.18)	(4,822,686.00)	(4,973,004.00)	(5,275,520.00)	(4,722,721.42)	(4,842,420.07)	(4,964,948.19)
PENDITURES:							
Reserves	-	82,086.00	82,086.00	140,939.00	144,792.17	148,760.94	152,848.76
Contingency	-	18,489.00	18,489.00	15,000.00	15,000.00	15,000.00	15,000.00
Depreciation	148,373.00	-	-	-	-	-	-
Administration - water	2,314,000.14	2,339,325.00	2,313,477.14	2,386,590.00	2,425,324.25	2,442,692.11	2,460,277.83
Pump station & filtration	1,201,994.87	1,634,120.00	1,577,332.63	1,198,460.00	1,316,479.25	1,349,391.23	1,383,126.01
Water distribution	488,109.80	420,320.00	380,586.00	379,440.00	424,514.00	435,126.85	446,005.02
Medical insurance	141,726.92	1,150.00	172,910.00	160,210.00	1,030.00	1,060.90	1,092.73
Debt service - Bonds	11,440.61	25,663.00	25,663.00	25,800.00	26,062.50	25,742.50	25,922.50
Debt service - BAN	-	-	-	3,300.00	3,300.00	3,300.00	3,300.00
Install. purchase debt - municipal lease	365.58	4,032.00	4,032.00	4,031.00	4,031.59	4,031.59	2,015.83
Debt service - energy lease	2,546.34	17,481.00	17,481.00	18,010.00	18,556.45	19,118.40	19,697.31
Transfers for capital projects	163,502.77	-	-	700,000.00	-	-	-
Transfers to other funds	301,460.00	279,070.00	279,070.00	243,740.00	219,833.50	195,954.34	172,103.20
TOTAL WATER FUND EXPENDITURES	4,773,520.03	4,821,736.00	4,871,126.77	5,275,520.00	4,598,923.71	4,640,178.85	4,681,389.19

**WATER FUND REVENUES
2016/2017**



	15/16 Projected		16/17 Budget	
	Amount	Percent	Amount	Percent
Charges for services	\$ (2,432,500.00)	49%	\$ (2,465,547.00)	47%
County water agreement	(1,347,170.00)	27%	(1,344,083.00)	25%
Rental of real property	(550,000.00)	11%	(550,000.00)	10%
Other revenue	(155,827.00)	3%	(147,739.00)	3%
Transfers	(142,507.00)	3%	-	0%
Appropriated	(345,000.00)	7%	(768,151.00)	15%
TOTAL REVENUES	\$ (4,973,004.00)	100%	\$ (5,275,520.00)	100%

**WATER FUND EXPENSES
2016/2017**

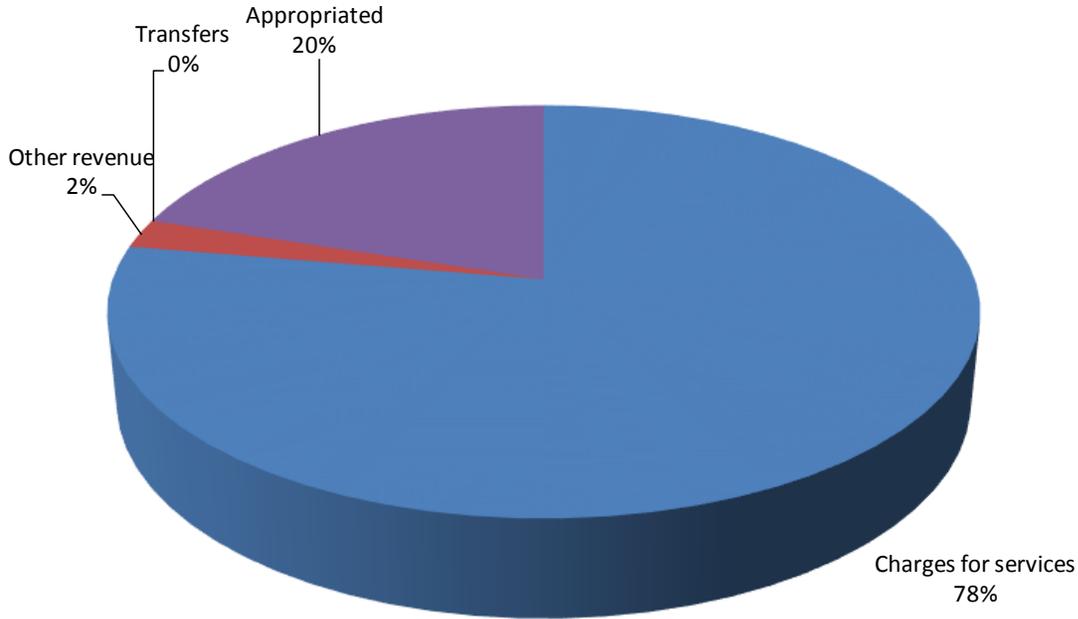


	15/16 Projected		16/17 Budget	
	Amount	Percent	Amount	Percent
Reserves	\$ 82,086.00	2%	\$ 140,939.00	3%
Contingency	18,489.00	0%	15,000.00	0.3%
Depreciation	-	0%	-	0%
Administration - water	2,313,477.14	47%	2,386,590.00	45%
Pump station & filtration	1,577,332.63	32%	1,198,460.00	23%
Water distribution	380,586.00	8%	379,440.00	7%
Medical insurance	172,910.00	4%	160,210.00	3%
Debt service	47,176.00	1%	51,141.00	1%
Transfers	279,070.00	6%	943,740.00	18%
TOTAL REVENUES	\$ 4,871,126.77	100%	\$ 5,275,520.00	100%

WASTEWATER FUND SUMMARY

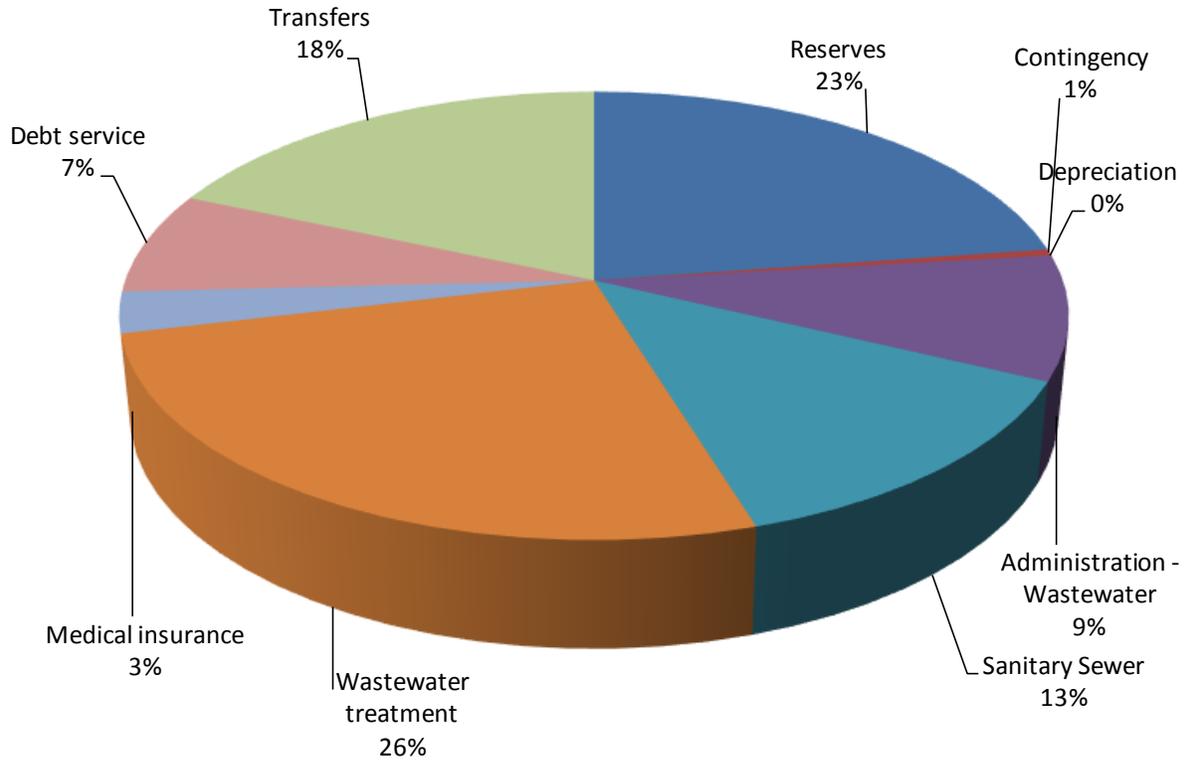
	Actual <u>14/15</u>	Budget <u>15/16</u>	Projected <u>15/16</u>	Proposed <u>16/17</u>	Projected		
					<u>17/18</u>	<u>18/19</u>	<u>19/20</u>
REVENUES:							
Charges for services	(4,703,463.65)	(2,492,299.00)	(2,544,909.00)	(2,498,988.00)	(2,547,622.02)	(2,546,643.51)	(2,566,284.76)
Other operating revenue	(250,208.78)	(71,600.00)	(77,377.00)	(71,600.00)	(71,600.00)	(71,600.00)	(71,600.00)
Interest income	(5,314.71)	(1,280.00)	(3,090.00)	(1,280.00)	(1,280.00)	(1,280.00)	(1,280.00)
Transfers in	(124,375.50)	-	(2,120,500.00)	-	-	-	-
Appropriated reserves	-	(19,500.00)	(19,500.00)	(646,200.00)	-	-	-
TOTAL WASTEWATER REVENUES	(5,083,362.64)	(2,584,679.00)	(4,765,376.00)	(3,218,068.00)	(2,620,502.02)	(2,619,523.51)	(2,639,164.76)
EXPENDITURES:							
Reserves	-	120,500.00	120,500.00	730,000.00	730,000.00	670,000.00	665,000.00
Contingency	-	28,000.00	28,000.00	15,000.00	25,000.00	25,000.00	25,000.00
Depreciation	1,345,075.30	-	-	-	-	-	-
Administration - wastewater	284,833.48	349,085.00	286,506.57	288,610.00	338,820.38	348,279.54	358,004.82
Sanitary sewers	247,941.13	449,535.00	375,947.08	422,740.00	440,932.48	453,167.94	465,745.77
Wastewater treatment	673,473.07	865,920.00	817,610.00	835,840.00	854,393.00	873,422.15	892,940.53
Medical insurance	127,953.23	740.00	156,380.00	95,310.00	1,037.78	1,066.31	1,095.64
Debt service - Bonds	21,088.07	159,500.00	159,500.00	163,059.00	161,500.15	164,166.95	162,394.95
Debt service - BAN	-	-	-	37,200.00	-	-	-
Install. purchase debt - municipal lease	2,632.15	29,028.00	29,028.00	29,028.00	29,027.43	29,027.44	19,225.18
Debt service - energy lease	1,056.24	7,251.00	7,251.00	7,471.00	7,697.17	7,930.28	8,170.40
Transfers for capital projects	124,375.50	-	-	562,000.00	-	-	-
Transfers to other funds	37,430.00	574,330.00	574,330.00	31,810.00	32,764.30	33,747.23	34,759.65
TOTAL WASTEWATER EXPENDITURES	2,865,858.17	2,583,889.00	2,555,052.65	3,218,068.00	2,621,172.68	2,605,807.84	2,632,336.94

**WASTEWATER FUND REVENUE
2016/2017**

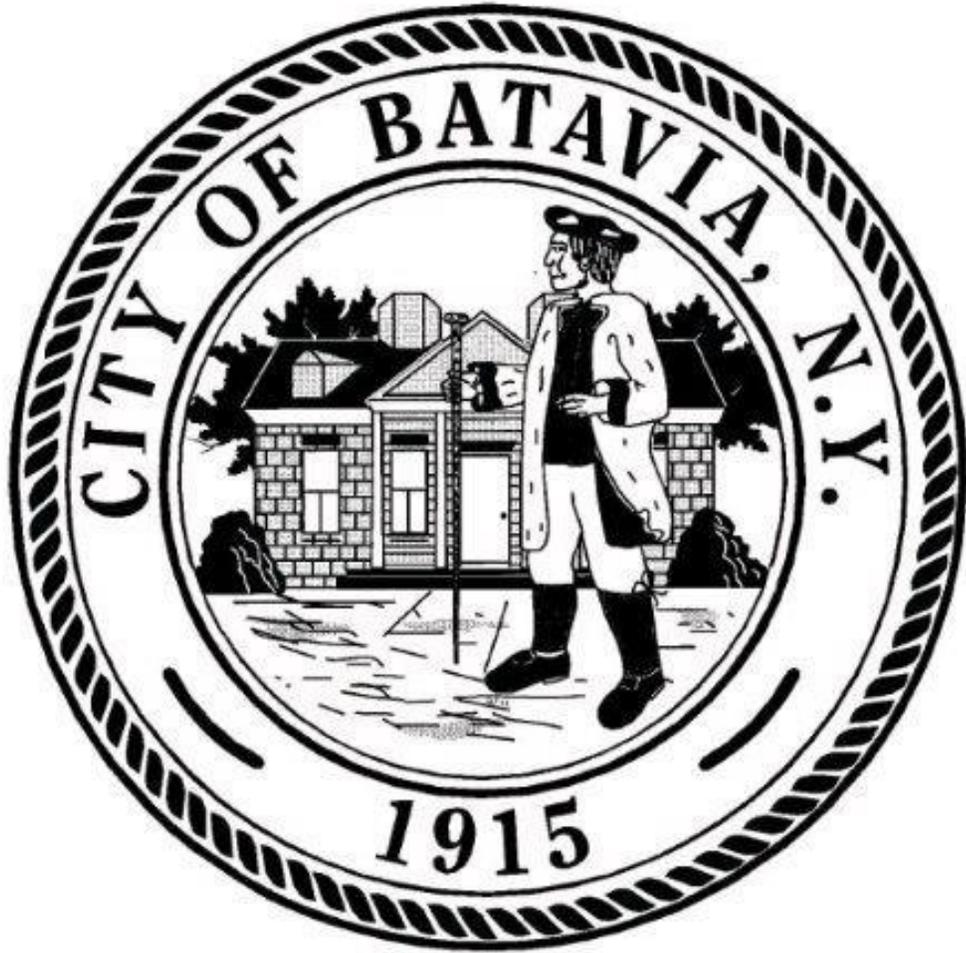


	15/16 Projected		16/17 Budget	
	Amount	Percent	Amount	Percent
Charges for services	\$ (2,544,909.00)	53%	\$ (2,498,988.00)	78%
Other revenue	(80,467.00)	2%	(72,880.00)	2%
Transfers	(2,120,500.00)	44%	-	0%
Appropriated	<u>(19,500.00)</u>	<u>0%</u>	<u>(646,200.00)</u>	<u>20%</u>
TOTAL REVENUES	\$ (4,765,376.00)	100%	\$ (3,218,068.00)	100%

WASTEWATER FUND EXPENSES 2016/2017



	15/16 Projected		16/17 Budget	
	Amount	Percent	Amount	Percent
Reserves	\$ 120,500.00	5%	\$ 730,000.00	23%
Contingency	28,000.00	1%	15,000.00	0%
Depreciation	-	0%	-	0%
Administration - Wastewater	286,506.57	11%	288,610.00	9%
Sanitary Sewer	375,947.08	15%	422,740.00	13%
Wastewater treatment	817,610.00	32%	835,840.00	26%
Medical insurance	156,380.00	6%	95,310.00	3%
Debt service	195,779.00	8%	236,758.00	7%
Transfers	574,330.00	22%	593,810.00	18%
TOTAL REVENUES	\$ 2,555,052.65	100%	\$ 3,218,068.00	100%



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GENERAL GOVERNMENT SERVICES

CITY COUNCIL

The City Council is responsible for ensuring effective and responsive leadership to meet public and organizational requirements. The City's mission statement serves as a beacon for this leadership, and is exercised by direct establishment, or through governing formulation of strategic initiatives. Council leadership is also demonstrated through establishing policy decision and adopting the City's annual budget.

Major Service Activities

- Establishes policy decisions, including the enactment of Ordinances, Local Laws and Resolutions.
- Approves contracts, designed to promote a standard quality of living for the community.
- Deliberates and establishes appropriate services and operations.
- Maintains all properties, public improvements, projects or enterprises for the City.
- Appoints necessary committee and task force members and acts as the official representative for the City.

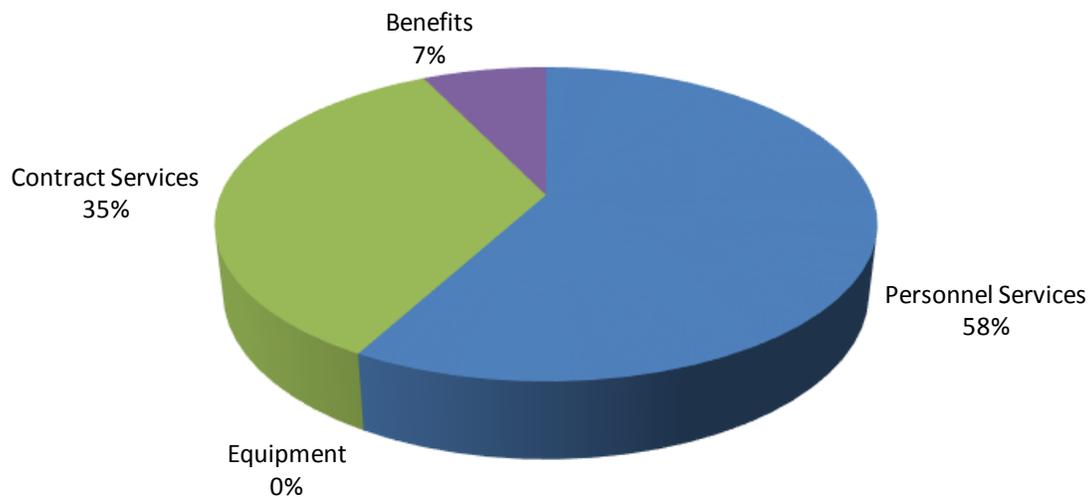
Budget Changes

- Travel and training line increased by \$5,000 to update the City's Strategic Plan.

GENERAL GOVERNMENT SERVICES

CITY COUNCIL

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	33,487.50	32,900.00	32,900.00	32,900.00	32,900.00	32,900.00	32,900.00
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	2,465.34	5,000.00	5,000.00	10,000.00	5,150.00	5,304.50	5,463.64
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	8,850.97	9,700.00	9,899.75	9,700.00	9,991.00	10,290.73	10,599.45
State Retirement	1,569.21	1,580.00	1,454.00	1,580.00	1,611.60	1,643.83	1,676.71
Social Security	2,561.86	2,520.00	2,520.00	2,520.00	2,520.00	2,520.00	2,520.00
Health Insurance	-	-	-	-	-	-	-
Total Expense	48,934.88	51,700.00	51,773.75	56,700.00	52,172.60	52,659.06	53,159.80



GENERAL GOVERNMENT SERVICES

OFFICE OF THE CITY MANAGER

MISSION STATEMENT

The City Manager's Office should promote an atmosphere of operational excellence in order to:

- Assist the Council in creating a vision for the community;
- Assist the City Council in placing the City's mission within the larger perspective of other municipalities, the county, the state, and the federal government;
- Show the Council that the organization is running properly.
- Assist the employees in performing at their highest levels;
- Create an environment that will encourage employees to dream, take risks, and know they are an important part of the whole;
- Become the best provider of quality public services in New York State; and
- Be highly respected by the citizens in the community.

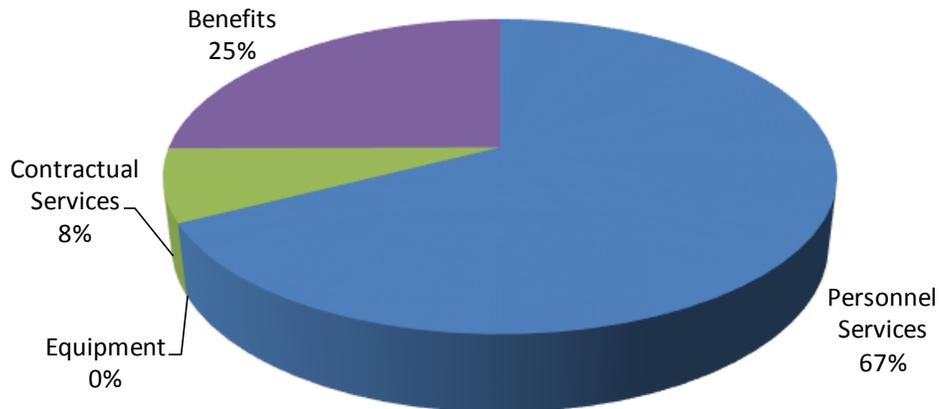
Purpose

Promote a vibrant and affordable community for our citizens and businesses by ensuring a safe environment and by providing high quality, cost effective services. The City Manager's Office is responsible for the implementation of policies established by the City Council and the general administration, coordination and supervision of City operations. The City Manager's Office is also responsible for monitoring and managing City funds and resources.

GENERAL GOVERNMENT SERVICES

OFFICE OF THE CITY MANAGER

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	117,936.50	117,270.00	117,270.00	121,160.00	124,189.00	127,293.73	130,476.07
Overtime	217.80	500.00	500.00	500.00	512.50	525.31	538.45
Equipment	450.00	-	59.99	-	-	-	-
Professional Fees	775.00	1,000.00	1,000.00	1,000.00	1,025.00	1,050.63	1,076.89
Travel & Training	3,702.85	3,000.00	5,000.00	3,500.00	3,587.50	3,677.19	3,769.12
Utilities	2,115.17	2,500.00	2,500.00	2,250.00	2,306.25	2,363.91	2,423.00
Contract Services	-	-	-	-	-	-	-
Other Expenses	6,249.01	6,750.00	6,785.00	6,750.00	6,918.75	7,091.72	7,269.01
State Retirement	21,671.85	18,570.00	17,087.00	16,230.00	16,635.75	17,051.64	17,477.93
Social Security	9,064.50	9,010.00	9,010.00	9,310.00	9,542.75	9,781.32	10,025.85
Health Insurance	-	19,730.00	-	19,730.00	20,223.25	20,728.83	21,247.05
Total Expense	162,182.68	178,330.00	159,211.99	180,430.00	184,940.75	189,564.27	194,303.38



GENERAL GOVERNMENT SERVICES

RESERVES

These are budgetary accounts set up for the purpose of funding various reserve fund accounts established pursuant to General Municipal Law, §6-c, §6-d, §6-j, §6-n, §6-r and §6-p. They include several Capital (type) reserve funds, Dwyer Stadium repair reserve fund, Workers Comp reserve fund, Insurance reserve fund, Retirement Contribution reserve fund and Employee Benefits Accrued Liability reserve fund.

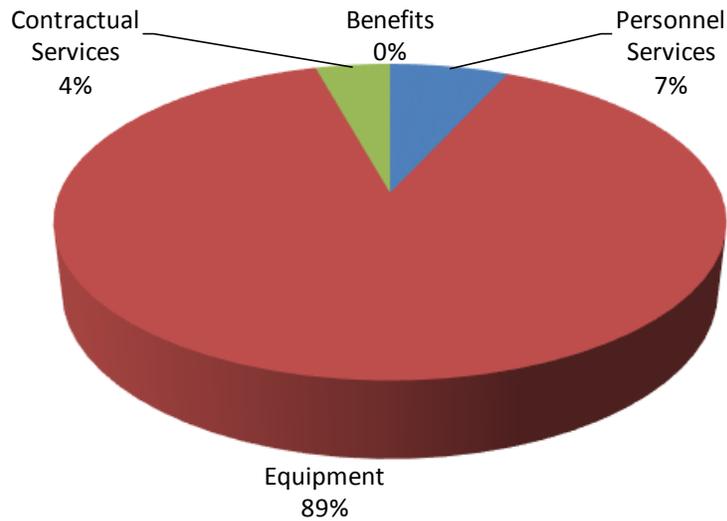
Budget Changes

- There is a \$12,000 decrease in the Ice Rink reserve due to last debt payment on Zamboni being paid in the prior year.
- There is a decrease of \$3,849 in parking lot reserve contribution to comply with the parking lot improvement plan.
- Contribution to the retirement reserve was discontinued as the reserve is adequately funded.
- All reserve balances are displayed on the Fund Balance Summary.

GENERAL GOVERNMENT SERVICES

RESERVES

Description	2014/2015 Actual	2015/2016 Budget	2015/2016 Projected	2016/2017 Proposed	2017/2018	2018/2019 Projected	2019/2020
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	2,250.00	2,250.00	2,250.00	5,000.00	5,000.00	5,000.00	5,000.00
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	2,250.00	2,250.00	2,250.00	5,000.00	5,000.00	5,000.00	5,000.00



GENERAL GOVERNMENT SERVICES

LEGAL SERVICES

Legal services includes duties performed by the City's legal counsel. The City Attorney is the primary legal counselor of the City. The City Attorney acts as legal advisor for the City, the Council, the City Manager, and all City departments, bureaus, boards, committees and commissions.

In addition legal services includes other specialized legal counselors. These other counselors include the City's labor and prosecutorial attorneys.

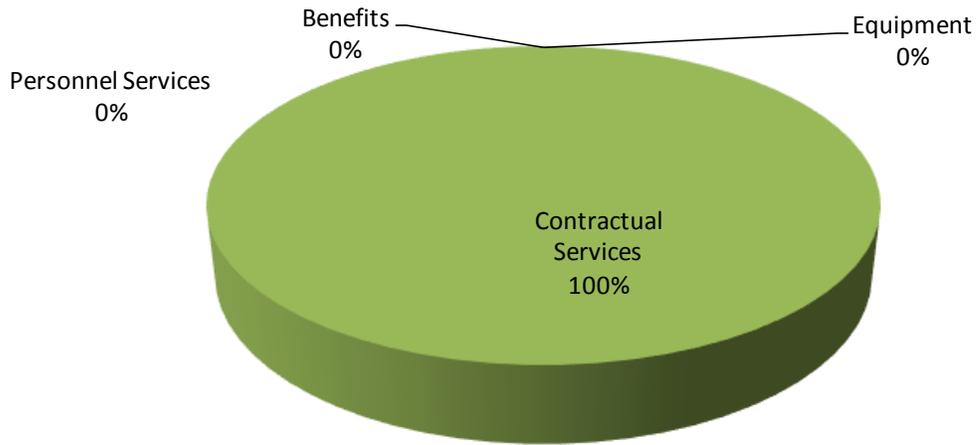
Major Service Activities

- Prosecutes or defends all actions, suits, and proceedings for, and on behalf of, the City
- Prepares all contracts, bonds, and other legal instruments for the City.
- Reviews and approves all bills tendered by special counsel.
- Prepares subpoenas, notices of claim, and initial pleadings related to claims against the City.
- Handles residential certiorari challenges and litigation.
- Attends closings for real property acquisitions and sales.
- Conducts in-rem tax foreclosure proceedings.
- Conducts condemnation proceedings

GENERAL GOVERNMENT SERVICES

LEGAL SERVICES

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	152,557.11	124,000.00	124,000.00	125,000.00	127,500.00	130,050.00	132,651.00
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	95,883.25	93,050.00	97,055.00	94,800.00	96,696.00	98,629.92	100,602.52
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	248,440.36	217,050.00	221,055.00	219,800.00	224,196.00	228,679.92	233,253.52



GENERAL GOVERNMENT SERVICES

COUNCIL ON ARTS

Council on Arts includes the City's contribution to the Genesee-Orleans Regional Arts Council (GO ART!) to provide funding to help support cultural and recreational opportunities in the City of Batavia.

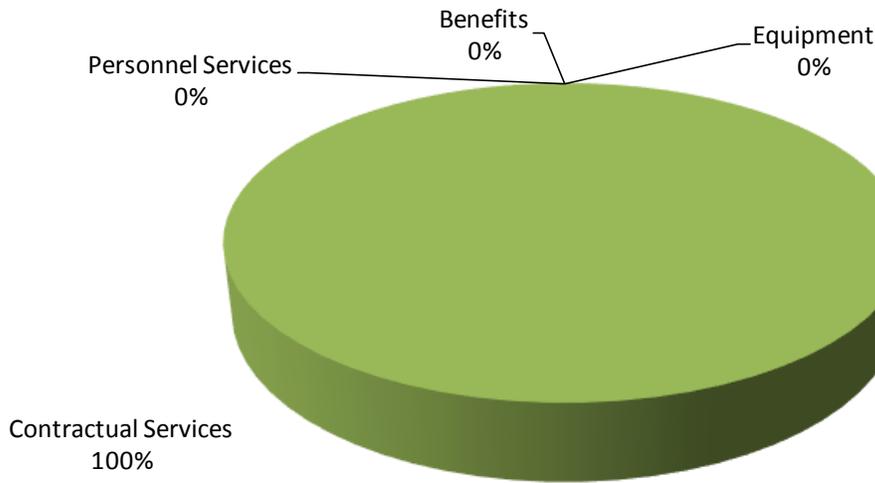
Budget Changes

- There is a \$2,750 increase in funding provided to GO-ART to support additional cultural and performing art programming and to help maintain their historic facility.

GENERAL GOVERNMENT SERVICES

COUNCIL ON ARTS

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	2,250.00	2,250.00	2,250.00	5,000.00	5,000.00	5,000.00	5,000.00
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	2,250.00	2,250.00	2,250.00	5,000.00	5,000.00	5,000.00	5,000.00



GENERAL GOVERNMENT SERVICES

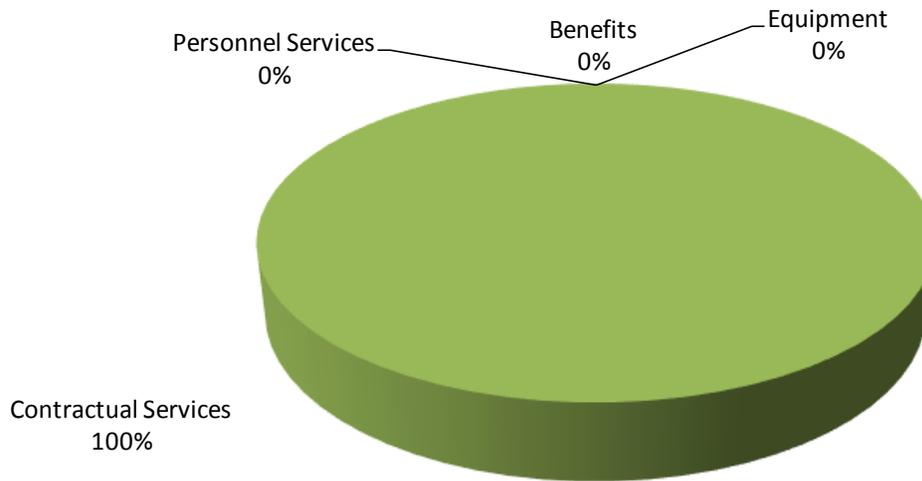
COMMUNITY DEVELOPMENT

The Community Development budget includes expenses associated with grant writing, planning, housing rehabilitation and community and economic redevelopment.

GENERAL GOVERNMENT SERVICES

COMMUNITY DEVELOPMENT

Description	2014/2015 Actual	2015/2016 Budget	2015/2016 Projected	2016/2017 Proposed	2017/2018	2018/2019 Projected	2019/2020
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	54,714.62	20,000.00	18,600.00	20,000.00	20,000.00	20,000.00	20,000.00
Other Expenses	44.49	-	-	-	-	-	-
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	54,759.11	20,000.00	18,600.00	20,000.00	20,000.00	20,000.00	20,000.00



GENERAL GOVERNMENT SERVICES

COMMUNITY CELEBRATIONS

This cost center accounts for monies provided for various celebrations and festivals conducted within the City of Batavia. These celebrations provide recreational opportunities for City residents and thus, higher quality of living. In addition, the celebrations attract business to the downtown area.

Major Service Activities

- Provide funds for various celebrations and festivals which promote the City.
- Contributes to the financing of such community events as Summer in the City, Christmas in the City, and Picnic in the Park.

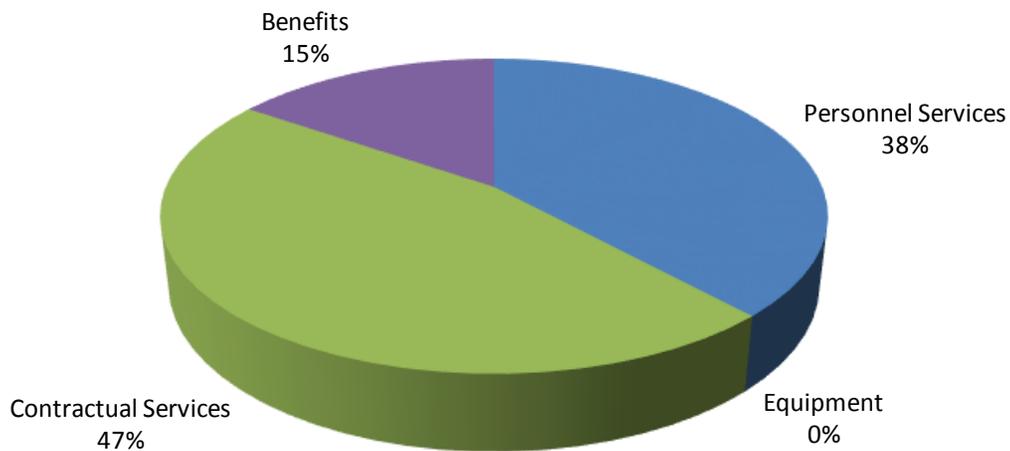
Budget Changes

- \$3,000 to replace the tent at Jackson Square.

GENERAL GOVERNMENT SERVICES

COMMUNITY CELEBRATIONS

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	2,475.92	4,860.00	4,860.00	4,810.00	4,930.25	5,053.51	5,179.84
Overtime	2,582.85	2,000.00	2,000.00	2,000.00	2,050.00	2,101.25	2,153.78
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	4,621.98	5,950.00	5,950.00	8,300.00	8,507.50	8,720.19	8,938.19
State Retirement	1,223.52	1,230.00	1,132.00	1,010.00	1,035.25	1,061.13	1,087.66
Social Security	382.71	530.00	530.00	520.00	533.00	546.33	559.98
Health Insurance	-	1,300.00	-	1,230.00	-	-	-
Total Expense	11,286.98	15,870.00	14,472.00	17,870.00	17,056.00	17,482.40	17,919.46



GENERAL GOVERNMENT SERVICES

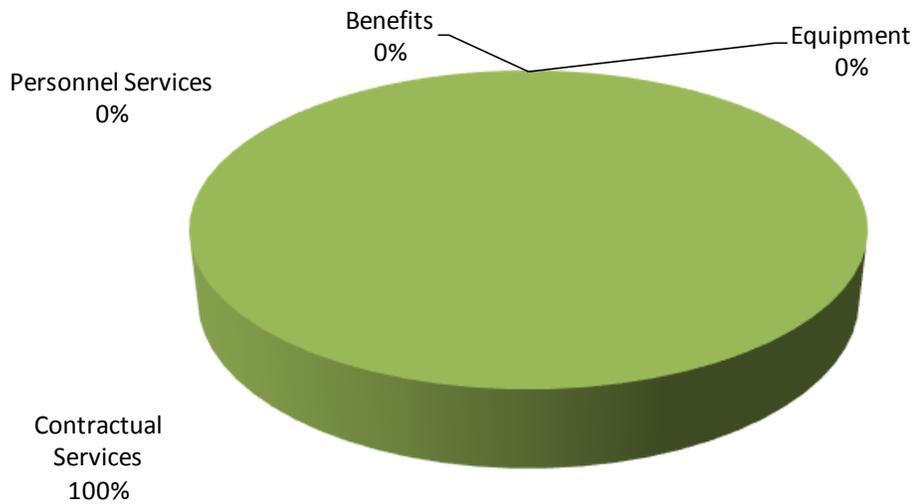
CONTINGENCY

The contingency line item is included in the budget to provide funding for unexpected budget shortfalls or emergencies. Expenditures may not be charged directly to the contingency appropriation. The City Council must first modify the budget by transferring from the contingency appropriation to the appropriation account needing funding. Using the contingency appropriation does not increase the original budget, it reallocates funding.

GENERAL GOVERNMENT SERVICES

CONTINGENCY

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	-	250,000.00	112,400.00	250,000.00	250,000.00	250,000.00	250,000.00
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	-	250,000.00	112,400.00	250,000.00	250,000.00	250,000.00	250,000.00



GENERAL GOVERNMENT SERVICES

DEBT SERVICE-BONDS

Expenditures for long-term debt principal and interest payments for Serial Bonds.

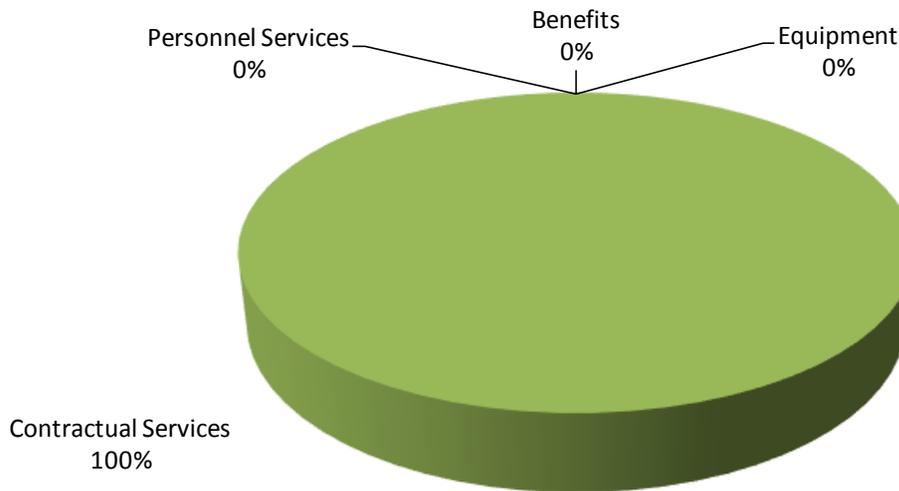
Budget Changes

- There is a \$12,550 decrease in interest payments due to the refunding of debt associated with the City Centre, however overall debt and interest payment have decreased

GENERAL GOVERNMENT SERVICES

DEBT SERVICE-BONDS

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	3,408,025.22	525,125.00	525,125.00	512,575.00	478,475.02	466,665.02	453,930.02
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	3,408,025.22	525,125.00	525,125.00	512,575.00	478,475.02	466,665.02	453,930.02



GENERAL GOVERNMENT SERVICES

DEBT SERVICE-BAN

Expenditures for long (or short)-term debt principal and interest payments of bond anticipation notes.

GENERAL GOVERNMENT SERVICES

DEBT SERVICE-BAN

Description	2014/2015 Actual	2015/2016 Budget	2015/2016 Projected	2016/2017 Proposed	2017/2018	2018/2019 Projected	2019/2020
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	31,287.63	16,953.00	16,953.00	-	-	-	-
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	31,287.63	16,953.00	16,953.00	-	-	-	-

GENERAL GOVERNMENT SERVICES

INSTALLMENT PURCHASE DEBT-MUNICIPAL LEASE

Expenditures for long-term debt principal and interest payments of Installment Purchase Debt. Debt under this category was used to purchase a Vac Con truck. The municipal lease is paid in full in fiscal year 2020.

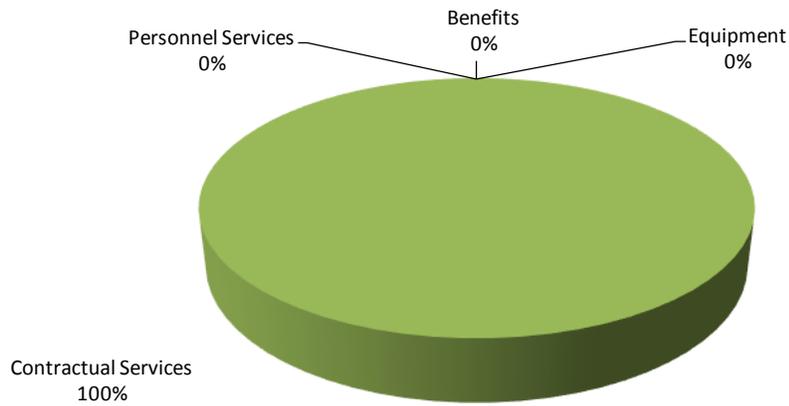
Budget Changes

- There is an increase in both principal and interest lines of the municipal lease account due to the City's leasing of a tandem axle with plow package in the 2015/2016 fiscal year.

GENERAL GOVERNMENT SERVICES

INSTALLMENT PURCHASE DEBT-MUNICIPAL LEASE

Description	2014/2015 Actual	2015/2016 Budget	2015/2016 Projected	2016/2017 Proposed	2017/2018	2018/2019 Projected	2019/2020
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	7,256.85	7,256.00	7,256.00	35,843.00	35,843.00	35,843.00	35,843.00
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	7,256.85	7,256.00	7,256.00	35,843.00	35,843.00	35,843.00	35,843.00



GENERAL GOVERNMENT SERVICES

DEBT SERVICE-ENERGY LEASE

Expenditures for long-term principal and interest payments of other long-term debt. Debt under this category was used to complete an energy performance construction project for all City facilities. The energy lease is paid in full in fiscal year 2022.

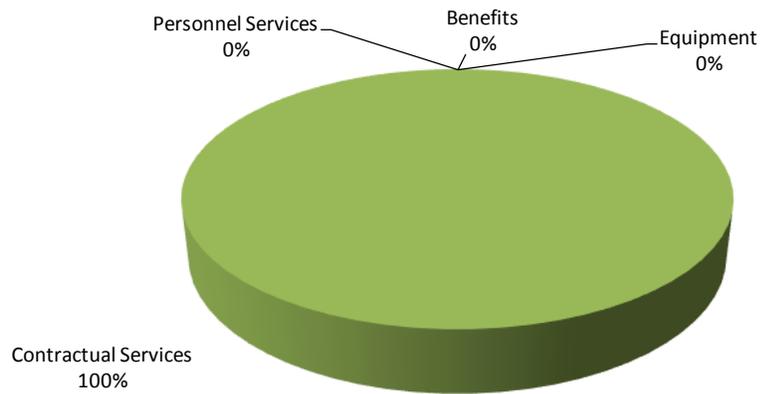
Budget Changes

- There is a \$2,000 increase in total debt service related to the City's energy lease. As principal payments increased approximately \$3,000, interest payments decreased approximately \$1,000.

GENERAL GOVERNMENT SERVICES

DEBT SERVICE-ENERGY LEASE

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed		Projected	
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	71,099.75	73,255.00	73,255.00	75,475.00	77,762.38	80,117.32	82,543.29
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	71,099.75	73,255.00	73,255.00	75,475.00	77,762.38	80,117.32	82,543.29



GENERAL GOVERNMENT SERVICES

OTHER GOVERNMENTAL DEBT PRINCIPAL

Expenditures for long-term debt principal and interest payments of other government debt. Debt under this category was used to fund the construction of the joint County/City Court Administration building. This debt is paid in full in fiscal year 2017.

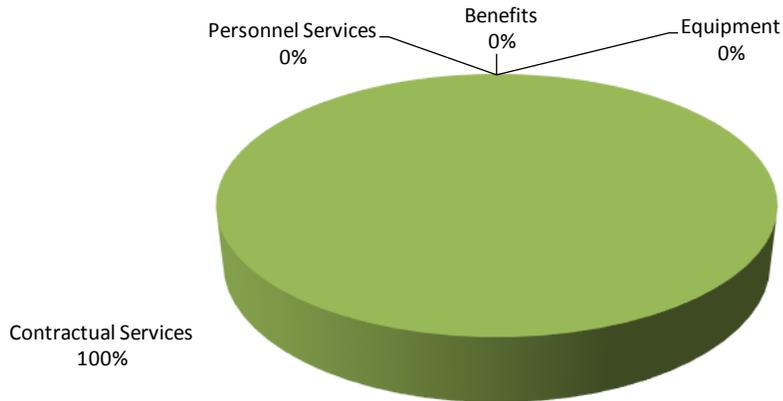
Budget Changes

- The principal of this debt increases annual by approximately \$4,500 conversely the interest decreases by almost \$3,000.

GENERAL GOVERNMENT SERVICES

OTHER GOVERNMENTAL DEBT PRINCIPAL

Description	2014/2015 Actual	2015/2016 Budget	2015/2016 Projected	2016/2017 Proposed	2017/2018	2018/2019 Projected	2019/2020
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	93,603.33	94,512.00	94,512.00	96,027.00	-	-	-
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	93,603.33	94,512.00	94,512.00	96,027.00	-	-	-



GENERAL GOVERNMENT SERVICES

TRANSFERS

Legally authorized transfers to the capital fund or other funds through which the resources are to be expended. These include transfers from the General Fund to the Worker's Compensation Fund and transfers to the Capital Fund for capital projects.

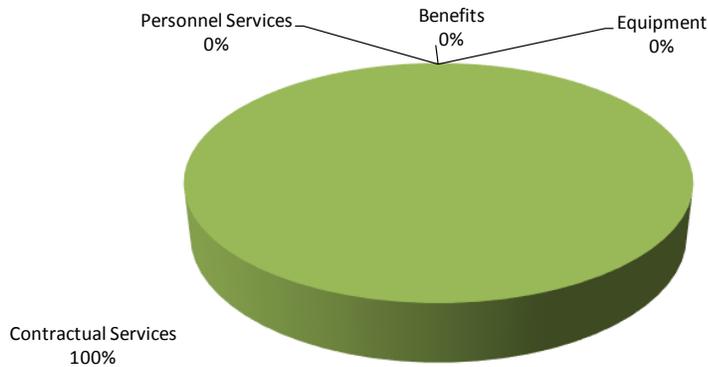
Budget Changes

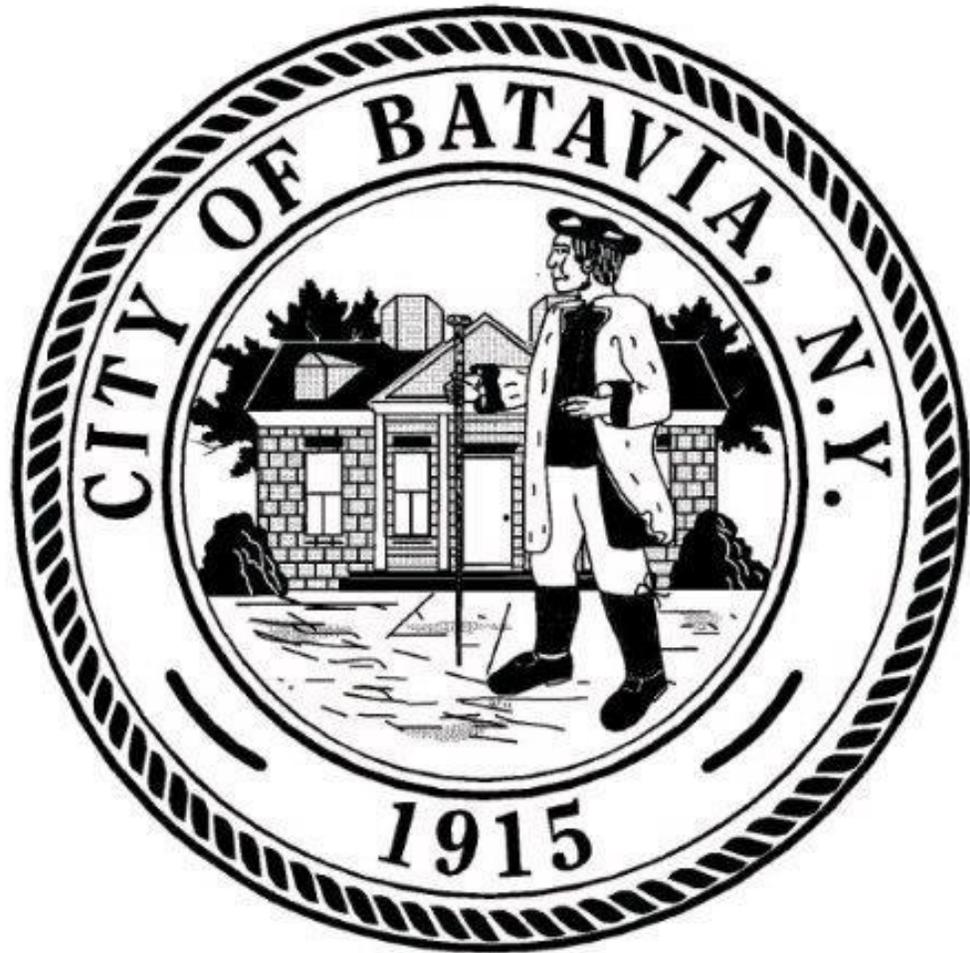
- Contributions to the Workers Comp fund have decreased \$117,150 because of the City's intention to become self-insured for works compensation.
- In preparation of the City's self-insured workers compensation plan the City is building their workers comp reserve by increasing their contribution by \$61,260.

GENERAL GOVERNMENT SERVICES

TRANSFERS TO OTHER FUNDS

Description	2014/2015 Actual	2015/2016 Budget	2015/2016 Projected	2016/2017 Proposed	2017/2018	2018/2019 Projected	2019/2020
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	378,940.00	398,230.00	398,230.00	322,090.00	342,206.30	363,657.84	386,535.90
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	378,940.00	398,230.00	398,230.00	322,090.00	342,206.30	363,657.84	386,535.90





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DEPARTMENT OF ADMINISTRATIVE SERVICE

Purpose

Preserve and enhance the quality of life of present and future Batavia residents and serve other City departments in a manner which will improve their effectiveness and efficiency.

Mission

The Department of Administrative Services will provide the necessary information through thorough analysis in order to...

- Provide for procedural controls over city resources
- Provide information to support decisions which affect the City
- Provide for excellent customer service to both our internal and external customers
- Provide an internal control system which will provide reasonable assurance that objectives of the systems will be accomplished.

In order to accomplish our mission we must...

1. Treat all people with dignity and respect;
2. Recruit, train, develop, and competitively compensate employees;
3. Understand, plan for, and use technology for daily operations;
4. Emphasize teamwork, empowerment and cross-training;
5. Foster fairness in the distribution of the real property tax system;
6. Be effective and efficient stewards of the public's money;
7. Be committed to excellence;
8. Continually assess our operational system and search for areas of both personal and operational improvement;
9. Be sensitive and responsive to the rights of the public and its changing needs;
10. Exercise prudence and integrity in the management of City-funds and in all financial transactions;
11. Actively avoid the appearance of or the fact of conflicting interests;
12. Support or maintain the highest ethical standards;
13. Utilize the opportunities presented in audit findings to enhance the department's operations.

ADMINISTRATIVE SERVICES

The Department of Administrative Services is responsible for providing support information and assisting in the control of City resources. This includes the collection of funds, auditing financial activity, providing direction in finance and information systems related areas, assessment of City-owned property, personnel and human resources administration, risk management and insurance administration, flood mitigation and management of the City's membership in the National Flood Insurance Program and providing direct support to the City Manager's Office. This department also oversees Youth Services and the Summer Recreation Program.

Major Service Activities

- Maintain all accounting records, invest funds and invoice and collect all accounts receivable
- Consolidate the purchase of individual hardware/software systems and lead teams that recommend/purchase technological systems citywide
- Manage City's information technology vendor and budget
- Administer all personnel activities
- Establish City property taxes and assessments
- Manage insurance broker and programs and serve as the City's risk assessor
- Manage flood mitigation activities and ensure adherence to the National Flood Insurance Program and Community Rating System
- Support and oversees Youth Services and Summer Recreation Program

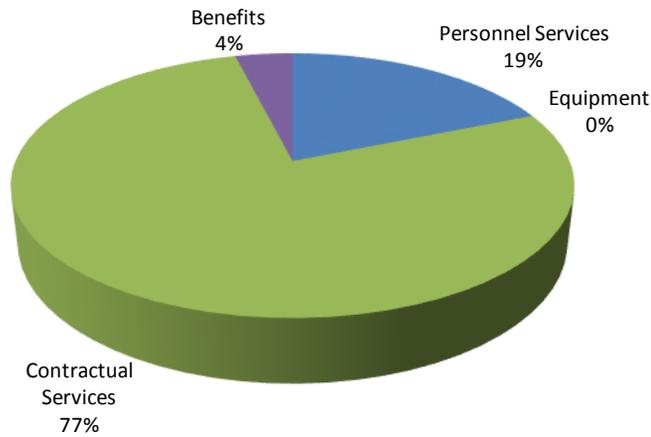
Budget Changes

- Overall this budget has decreased slightly (\$400) due to a decrease in contractual services and employee health insurance, while there was an equal increase in insurance costs.
- Overall this budget has increased primarily due to the increase in liability insurance in the amount of \$13,670.

DEPARTMENT OF ADMINISTRATIVE SERVICES

ADMINISTRATIVE SERVICES

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	40,689.31	60,010.00	60,010.00	61,960.00	63,509.00	65,096.73	66,724.14
Overtime	-	-	-	-	-	-	-
Equipment	2,894.00	-	756.00	-	-	-	-
Professional Fees	-	1,000.00	1,000.00	500.00	512.50	525.31	538.45
Travel & Training	20.00	1,500.00	1,500.00	1,500.00	1,537.50	1,575.94	1,615.34
Utilities	-	-	-	-	-	-	-
Contract Services	3,150.00	2,150.00	7,182.57	2,150.00	2,203.75	2,258.84	2,315.31
Other Expenses	225,432.26	235,350.00	235,363.13	250,000.00	261,796.00	274,680.80	288,204.72
State Retirement	5,357.61	6,360.00	5,852.00	5,700.00	5,842.50	5,988.56	6,138.28
Social Security	3,112.71	4,590.00	4,590.00	4,740.00	4,858.50	4,979.96	5,104.46
Health Insurance	-	2,500.00	-	2,500.00	2,500.00	2,500.00	2,500.00
Total Expense	280,655.89	313,460.00	316,253.70	329,050.00	342,759.75	357,606.14	373,140.69



DEPARTMENT OF ADMINISTRATIVE SERVICES

FINANCE

The Bureau of Finance is responsible for maintaining the City's financial accounts. This bureau maintains computerized receipts, disbursements, subsidiary accounts and all financial statements for the City's general, water, wastewater, workers comp, trust, agency, small cities, special grant and capital funds. The payroll process and all payroll related functions such as the issuance of bi-weekly checks, the processing of quarterly and annual Internal Revenue and Social Security Administration reports and the issuance of employee W-2 reports are performed by this bureau. This bureau is responsible for facilitating the annual financial audit and works closely with the City Manager to facilitate the budget process.

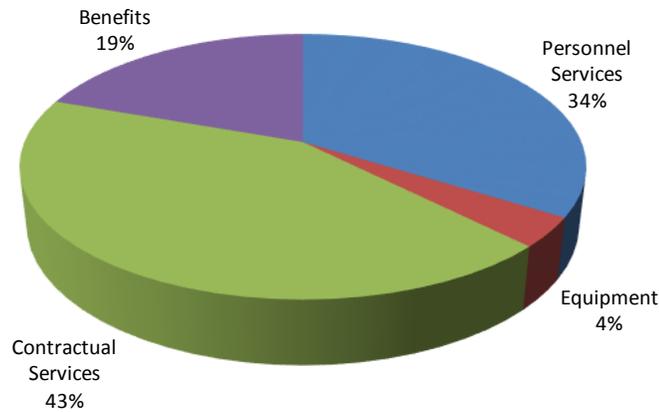
Major Service Activities

- Maintain all financial accounting records of the City
- Maintain all payroll processing and reporting related activities
- Authorize and prepare purchase orders in order to pay for City goods and services
- Financial audit facilitation
- Actively involved in the budget process

DEPARTMENT OF ADMINISTRATIVE SERVICES

FINANCE

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	41,803.67	45,760.00	45,760.00	47,010.00	48,185.25	49,389.88	50,624.63
Overtime	-	-	-	-	-	-	-
Equipment	-	36,874.00	36,874.00	5,000.00	-	-	-
Professional Fees	33,765.08	27,100.00	27,100.00	28,100.00	28,802.50	29,522.56	30,260.63
Travel & Training	3,562.23	4,760.00	3,760.00	4,230.00	4,335.75	4,444.14	4,555.25
Utilities	350.79	350.00	350.00	350.00	358.75	367.72	376.91
Contract Services	16,615.00	23,682.00	23,682.00	24,000.00	24,600.00	25,215.00	25,845.38
Other Expenses	2,674.70	3,100.00	3,100.00	2,800.00	2,870.00	2,941.75	3,015.29
State Retirement	10,808.07	11,110.00	10,223.00	8,590.00	8,804.75	9,024.87	9,250.49
Social Security	3,009.73	3,470.00	3,470.00	3,560.00	3,649.00	3,740.23	3,833.73
Health Insurance	-	14,700.00	-	14,970.00	15,344.25	15,727.86	16,121.05
Total Expense	112,589.27	170,906.00	154,319.00	138,610.00	136,950.25	140,374.01	143,883.36



DEPARTMENT OF ADMINISTRATIVE SERVICES

CLERK-TREASURER

The Bureau of the Clerk-Treasurer is located within the Department of Administrative Services. In pursuing its treasury functions, this bureau is responsible for the collection, recordings, and reporting of all City revenue. In undertaking its Clerk responsibilities, this bureau issues various licenses, maintains and manages City records, and acts as the custodian of the City Seal.

Major Service Activities

- Collects, records and deposits all City revenue
- Invests idle funds to maximize interest earnings
- Issues various licenses and certificates
- Serves as the Clerk of the Council and undertakes duties relating to such
- Maintains City records and documents and conforms to state reporting requirements

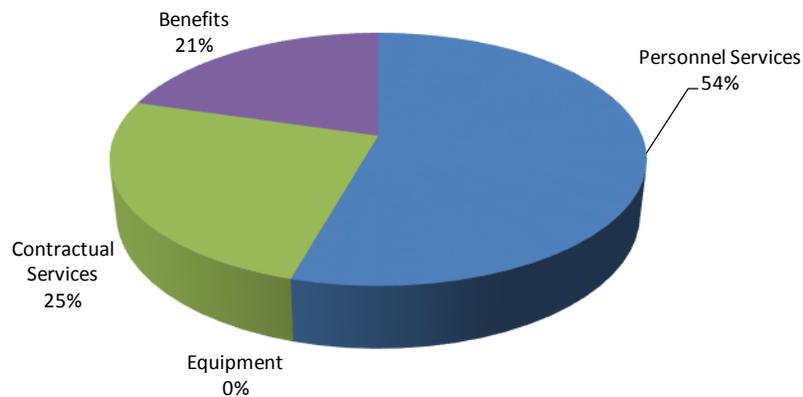
Budget Changes

- In the prior year, the Clerk-Treasurer budgeted to purchase records management hardware and software. This budget has now decreased in the subsequent year by approximately \$8,500.

DEPARTMENT OF ADMINISTRATIVE SERVICES

CLERK-TREASURER

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	65,047.04	70,690.00	70,690.00	72,880.00	74,702.00	76,569.55	78,483.79
Overtime	-	-	-	-	-	-	-
Equipment	15,182.62	13,440.00	14,440.00	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	1,561.28	2,150.00	2,150.00	2,110.00	2,162.75	2,216.82	2,272.24
Utilities	1,090.87	1,200.00	1,200.00	1,200.00	1,230.00	1,260.75	1,292.27
Contract Services	2,690.86	4,955.00	4,955.00	5,920.00	6,068.00	6,219.70	6,375.19
Other Expenses	31,546.32	25,000.00	50,000.00	24,500.00	25,112.50	25,740.31	26,383.82
State Retirement	11,848.02	12,220.00	11,244.00	10,560.00	10,824.00	11,094.60	11,371.97
Social Security	4,840.69	5,410.00	5,410.00	5,580.00	5,719.50	5,862.49	6,009.05
Health Insurance	-	11,250.00	-	11,250.00	11,531.25	11,819.53	12,115.02
Total Expense	133,807.70	146,315.00	160,089.00	134,000.00	137,350.00	140,783.75	144,303.34



CITY ASSESSMENT

The Bureau of Assessment is located within the Department of Administrative Services. This bureau is responsible for the administration and valuation of real property assessments, administration of property tax exemptions and maintenance of a City-wide property information data base which includes ownership, land and physical building data.

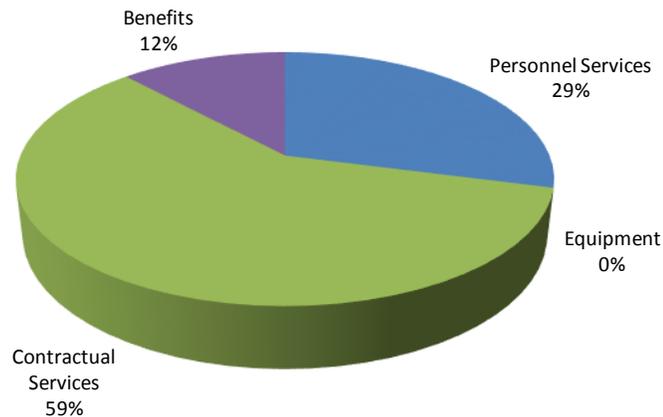
Major Service Activities

- Records property ownership and appraises all real property for assessment purposes
- Collects and records physical building information
- Administers property tax exemption programs
- Prepares and files quarterly and annual assessment reports as prescribed by the State

DEPARTMENT OF ADMINISTRATIVE SERVICES

CITY ASSESSMENT

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	40,088.00	40,680.00	40,680.00	41,680.00	41,953.25	43,002.08	44,077.13
Overtime	448.58	700.00	900.00	700.00	717.50	735.44	753.82
Equipment	-	-	-	-	-	-	-
Professional Fees	647.80	5,000.00	5,000.00	5,000.00	5,125.00	5,253.13	5,384.45
Travel & Training	169.60	300.00	300.00	300.00	307.50	315.19	323.07
Utilities	683.02	800.00	800.00	800.00	820.00	840.50	861.51
Contract Services	73,835.93	76,582.00	76,582.00	77,262.00	79,193.55	81,173.39	83,202.72
Other Expenses	1,293.97	2,750.00	2,750.00	2,750.00	2,818.75	2,889.22	2,961.45
State Retirement	7,586.08	7,640.00	7,030.00	6,700.00	6,867.50	7,039.19	7,215.17
Social Security	3,101.01	3,110.00	3,110.00	3,250.00	3,331.25	3,414.53	3,499.89
Health Insurance	-	7,510.00	-	7,510.00	7,697.75	7,890.19	8,087.45
Total Expense	127,853.99	145,072.00	137,152.00	145,952.00	148,832.05	152,552.85	156,366.67



DEPARTMENT OF ADMINISTRATIVE SERVICES

PERSONNEL

The Bureau of Personnel is responsible for the administration of all personnel or human resources related activities. This includes administration of employee benefits, health care maintenance, employee wellness, maintenance and promulgation of personnel policies, and labor relations.

Major Service Activities

- Administration of employee benefits
- Development and maintenance of personnel policies and procedures
- Maintain employee health care and wellness programs
- Maintain positive employee relations through advocating employee concerns
- Secure and administer employment agreements with the City's four labor unions

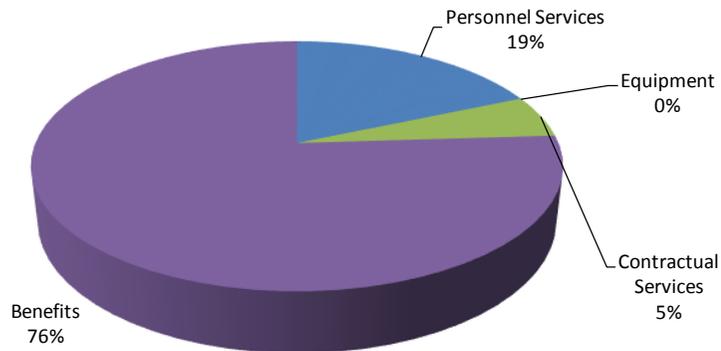
Budget Changes

- The City is required to have an actuarial analysis performed every three years to comply with GASB45, other past employment benefits; therefore the professional fees line has increased \$5,250.
- The Hospital & Medical Insurance account has decreased \$43,560 because we have experienced a number of retirees coming off the City's self-insured health insurance.

DEPARTMENT OF ADMINISTRATIVE SERVICES

PERSONNEL

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	85,534.38	86,990.00	86,990.00	90,430.00	92,690.75	95,008.02	97,383.22
Overtime	-	-	-	-	-	-	-
Equipment	712.97	-	-	-	-	-	-
Professional Fees	-	-	2,500.00	5,250.00	-	-	-
Travel & Training	3,280.88	6,000.00	6,000.00	6,000.00	6,150.00	6,303.75	6,461.34
Utilities	683.02	850.00	850.00	850.00	871.25	893.03	915.36
Contract Services	-	-	-	-	-	-	-
Other Expenses	26,956.87	14,600.00	14,795.20	14,600.00	14,965.00	15,339.13	15,722.60
State Retirement	14,847.17	15,310.00	14,088.00	13,350.00	13,683.75	14,025.84	14,376.49
Social Security	6,299.98	6,660.00	6,660.00	6,920.00	7,093.00	7,270.33	7,452.08
Health Insurance	-	394,020.00	-	350,460.00	353,964.60	357,504.25	361,079.29
Total Expense	138,315.27	524,430.00	131,883.20	487,860.00	489,418.35	496,344.34	503,390.38



DEPARTMENT OF ADMINISTRATIVE SERVICES

ELECTIONS

Elections are handled through the Bureau of the Clerk-Treasurer, which is located within the Department of Administrative Services. Charged to this cost center are inspector fees which are charged back to the City by Genesee County.

Major Service Activities

- Assist the County Board of Elections as needed

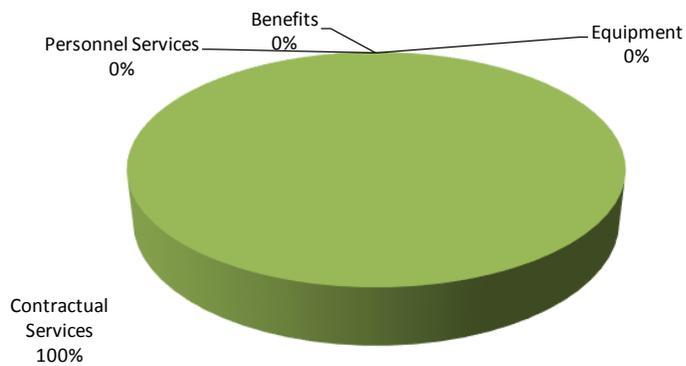
Budget Changes

- Election expense has increased \$6,000 due to primary elections that took place in November 2014.

DEPARTMENT OF ADMINISTRATIVE SERVICES

ELECTIONS

Description	2014/2015 Actual	2015/2016 Budget	2015/2016 Projected	2016/2017 Proposed	2017/2018	2018/2019 Projected	2019/2020
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	34,735.00	11,835.00	11,835.00	18,210.00	20,000.00	20,000.00	20,000.00
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	34,735.00	11,835.00	11,835.00	18,210.00	20,000.00	20,000.00	20,000.00



DEPARTMENT OF ADMINISTRATIVE SERVICES

INFORMATION SYSTEMS

The Bureau of Information Systems is located in the Department of Administrative Services and functions under the direction of the Assistant City Manager. In addition, all troubleshooting and problem solving on application software and hardware is funneled through this Bureau.

Major Service Activities

- Maintain the computer network and all application software and hardware utilized by staff
- Purchase data processing equipment and software
- Maintain the local area network and information systems
- Evaluate the City's information system needs and explore opportunities for expansion

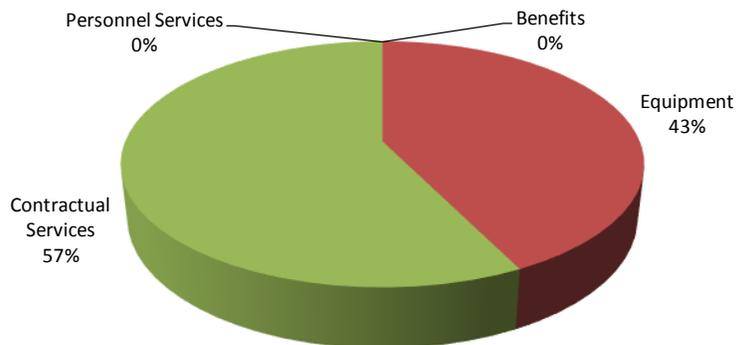
Budget Changes

- 24/7 Monitoring was removed from our IT contract therefore decreasing that expense by \$4,000.
- A server upgrade is increasing the equipment line by \$11,350.

DEPARTMENT OF ADMINISTRATIVE SERVICES

INFORMATION SYSTEMS

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	70,218.92	23,544.00	23,544.00	33,950.00	30,778.00	31,701.34	32,652.38
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	47,495.00	50,625.00	50,625.00	45,625.00	46,993.75	48,403.56	49,855.67
Other Expenses	-	-	-	-	-	-	-
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	117,713.92	74,169.00	74,169.00	79,575.00	77,771.75	80,104.90	82,508.05



CONTROL OF DOGS

Dog control is handled through the Bureau of the Clerk-Treasurer, which is located within the Department of Administrative Services. This cost center provides for the issuance of dog licenses to dogs harbored in the City limits and their annual renewals. The cost center is new as of 2011 when New York State turned over dog licensing responsibilities to municipalities within the state.

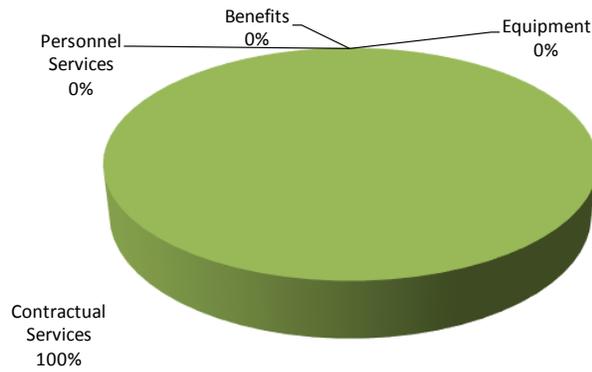
Major Service Activities

- Issue original dog licenses and annual renewals

DEPARTMENT OF ADMINISTRATIVE SERVICES

CONTROL OF DOGS

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	770.00	810.00	810.00	850.00	871.25	893.03	915.36
Other Expenses	402.96	500.00	500.00	460.00	471.50	483.29	495.37
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	1,172.96	1,310.00	1,310.00	1,310.00	1,342.75	1,376.32	1,410.73



DEPARTMENT OF ADMINISTRATIVE SERVICES

VITAL STATISTICS

Vital Statistics relates to documenting births, deaths and marriages. This information must be compiled and processed in order to meet New York State requirements. The Bureau of the Clerk-Treasurer is responsible for recording all births and deaths that occur within the corporate boundaries of the City of Batavia. This function is performed by the Deputy Clerk/Treasurer.

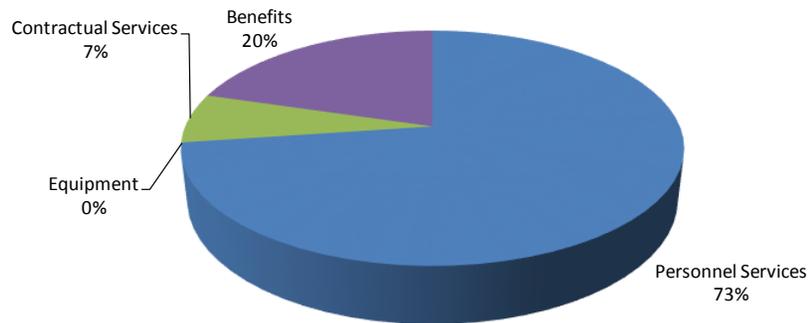
Major Service Activities

- Issue and record marriage licenses
- File birth certificates and send acknowledgement of such to parents
- File and record burial permits and death certificates

DEPARTMENT OF ADMINISTRATIVE SERVICES

VITAL STATISTICS

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	12,445.92	13,310.00	13,310.00	13,860.00	14,206.50	14,561.66	14,925.70
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	169.04	200.00	200.00	200.00	205.00	210.13	215.38
Contract Services	-	-	-	-	-	-	-
Other Expenses	1,243.64	1,300.00	1,300.00	1,100.00	1,127.50	1,155.69	1,184.58
State Retirement	2,442.03	2,500.00	2,300.00	2,190.00	2,244.75	2,300.87	2,358.39
Social Security	923.07	1,020.00	1,020.00	1,060.00	1,086.50	1,113.66	1,141.50
Health Insurance	-	630.00	-	630.00	645.75	661.89	678.44
Total Expense	17,223.70	18,960.00	18,130.00	19,040.00	19,516.00	20,003.90	20,504.00



SUMMER RECREATION

This six week summer program provides recreational, cultural, education and social opportunities for young people in five outdoor City parks. In addition, this program facilitates tennis instruction to the children enrolled in the Summer Recreation Program as well as providing games and instruction to children with special needs through the Challenger Tennis Program. The City of Batavia Summer Recreation Program also partners with USTA and the Community Tennis Program to provide financial scholarships to children in need in the City of Batavia.

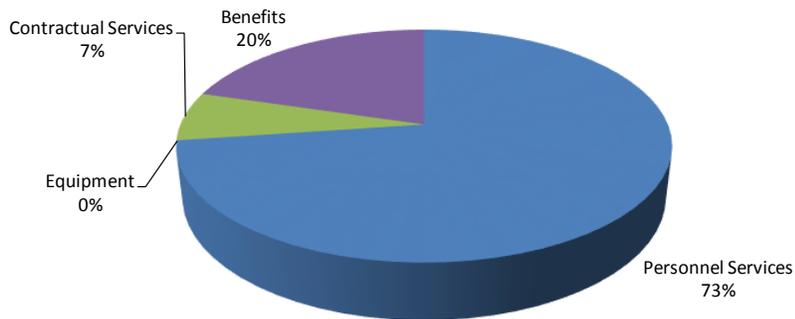
Major Service Activities

- Administers six week summer program to children ages 6-14
- Structured tennis programs and activities

DEPARTMENT OF ADMINISTRATIVE SERVICES

SUMMER RECREATION

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	12,445.92	13,310.00	13,310.00	13,860.00	14,206.50	14,561.66	14,925.70
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	169.04	200.00	200.00	200.00	205.00	210.13	215.38
Contract Services	-	-	-	-	-	-	-
Other Expenses	1,243.64	1,300.00	1,300.00	1,100.00	1,127.50	1,155.69	1,184.58
State Retirement	2,442.03	2,500.00	2,300.00	2,190.00	2,244.75	2,300.87	2,358.39
Social Security	923.07	1,020.00	1,020.00	1,060.00	1,086.50	1,113.66	1,141.50
Health Insurance	-	630.00	-	630.00	645.75	661.89	678.44
Total Expense	17,223.70	18,960.00	18,130.00	19,040.00	19,516.00	20,003.90	20,504.00



YOUTH SERVICES

The Youth Services Program is responsible for the operation of the Youth Center and Youth Bureau. This Bureau administers the State funding for City youth programs, services and activities.

Major Service Activities

- Provide leadership development programs for youth
- Provide various activities and programs for youth

Strategic Initiatives-Program Analysis

The focus of the Youth Services program is to support programs that provide opportunities for youth to gain important life skills and core competencies, and that allow youth to have meaningful roles in their communities. Youth development initiatives benefit young people in their homes and neighborhoods, in schools, as well as in foster care and residential treatment. The goal is for all youth to reach their full potential and become healthy, productive adults.

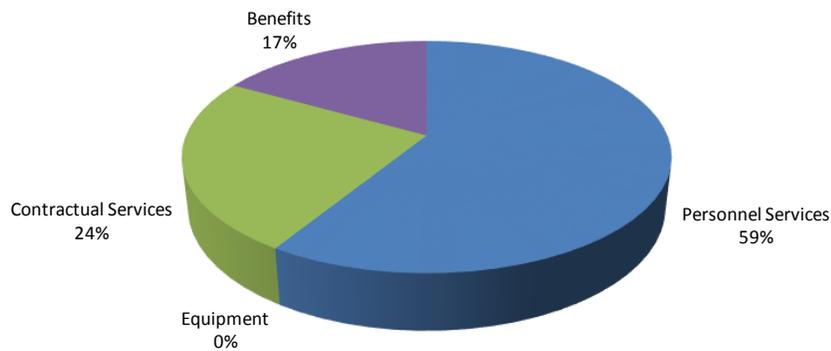
Budget Changes

- There is a \$25,000 decrease in Repair & Maintenance-Facility Reserve because the Youth Services Bureau roof was replaced last year.

DEPARTMENT OF ADMINISTRATIVE SERVICES

YOUTH SERVICES

Description	2014/2015 Actual	2015/2016 Budget	2015/2016 Projected	2016/2017 Proposed	2017/2018	2018/2019 Projected	2019/2020
Salaries	87,115.14	96,100.00	93,791.00	99,510.00	101,997.75	104,547.69	107,161.39
Overtime	-	100.00	100.00	100.00	102.50	105.06	107.69
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	305.28	900.00	500.00	900.00	922.50	945.56	969.20
Utilities	4,675.27	5,350.00	4,975.00	5,150.00	5,278.75	5,410.72	5,545.99
Contract Services	24,092.88	25,535.00	24,000.00	23,235.00	23,815.88	24,411.27	25,021.55
Other Expenses	9,950.07	36,650.00	20,263.00	11,650.00	11,941.25	12,239.78	12,545.78
State Retirement	12,748.69	13,330.00	12,266.00	11,610.00	11,900.25	12,197.76	12,502.70
Social Security	6,605.87	7,360.00	7,360.00	7,620.00	7,810.50	8,005.76	8,205.91
Health Insurance	-	9,390.00	-	9,390.00	9,624.75	9,865.37	10,112.00
Total Expense	145,493.20	194,715.00	163,255.00	169,165.00	173,394.13	177,728.98	182,172.20



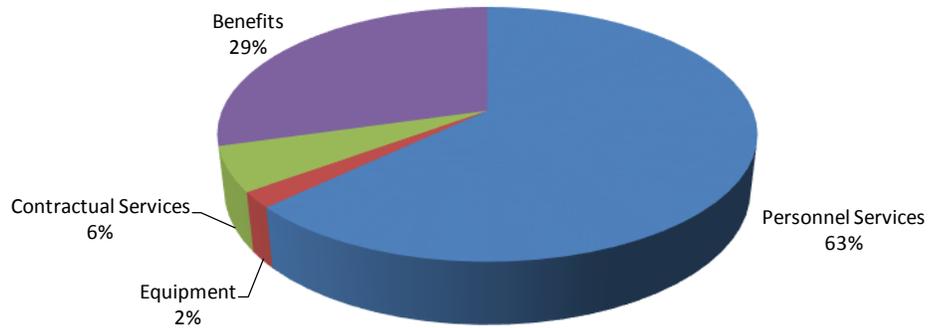
MEDICAL INSURANCE

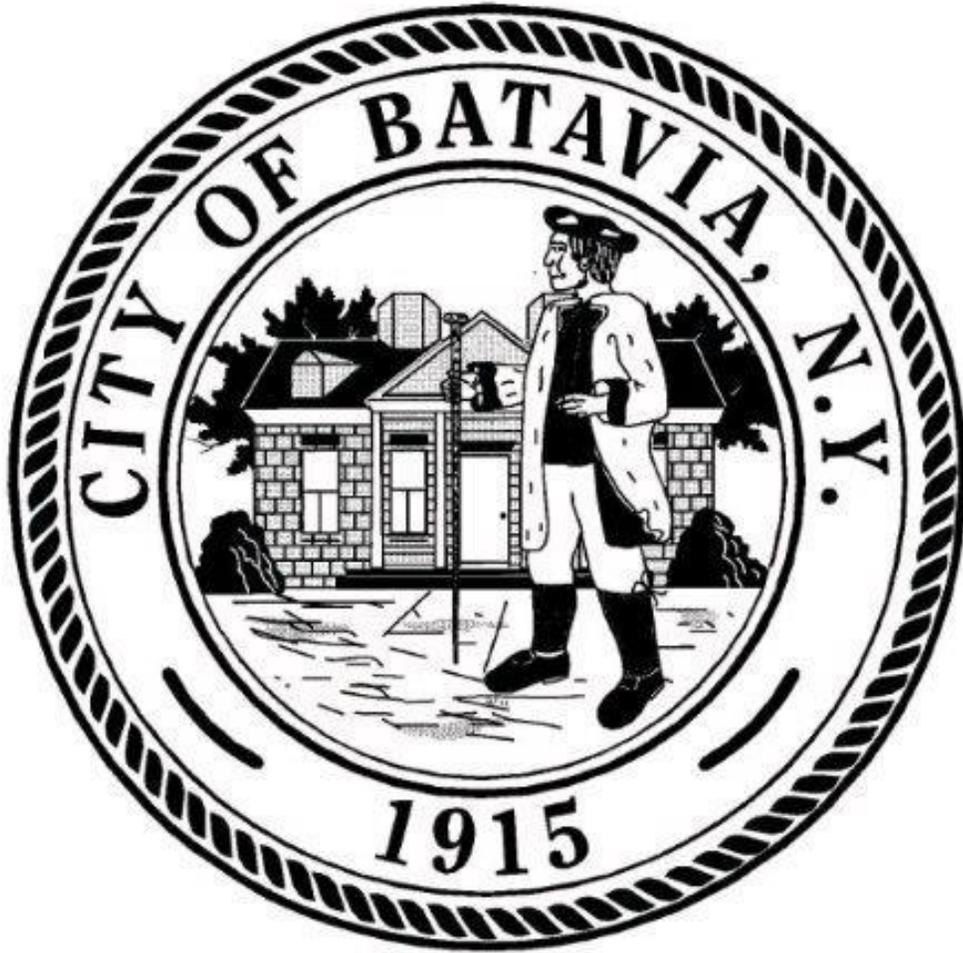
Hospital, medical and dental insurance expenditures paid by the City on behalf of employees.

DEPARTMENT OF ADMINISTRATIVE SERVICES

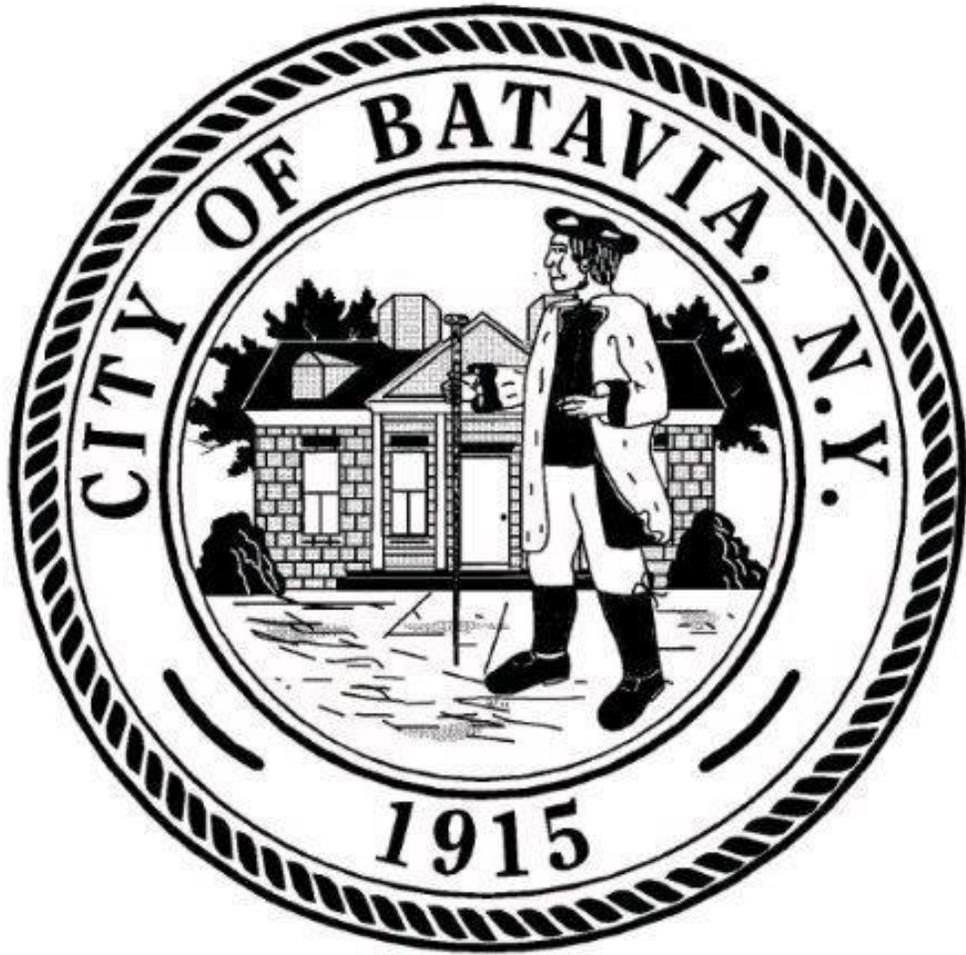
MEDICAL INSURANCE

Description	2014/2015 Actual	2015/2016 Budget	2015/2016 Projected	2016/2017 Proposed	2017/2018	2018/2019 Projected	2019/2021
Salaries	2,025,333.08	2,251,180.00	2,251,180.00	2,303,130.00	2,366,466.08	2,431,543.89	2,498,411.35
Overtime	206,038.11	243,000.00	252,332.39	226,000.00	222,967.50	229,099.11	235,399.33
Equipment	159,885.57	85,620.00	93,151.22	80,300.00	72,057.50	73,858.94	75,705.41
Professional Fees	6,102.00	6,110.00	6,110.00	6,470.00	6,631.75	6,797.54	6,967.48
Travel & Training	43,627.49	42,550.00	48,420.55	40,200.00	41,205.00	42,235.13	43,291.00
Utilities	35,714.55	38,500.00	38,500.00	34,900.00	35,772.50	36,666.81	37,583.48
Contract Services	-	-	-	-	-	-	-
Other Expenses	177,510.35	159,310.00	174,637.98	145,480.00	149,035.50	152,679.89	156,415.38
State Retirement	595,564.13	536,340.00	428,442.00	530,340.00	543,598.50	557,188.46	571,118.17
Social Security	168,447.39	194,230.00	194,943.22	196,900.00	201,605.78	207,149.93	212,846.56
Health Insurance	-	428,850.00	-	454,290.00	465,647.25	477,288.43	489,220.64
Total Expense	3,418,222.67	3,985,690.00	3,487,717.36	4,018,010.00	4,104,987.35	4,214,508.13	4,326,958.82





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POLICE DEPARTMENT

Mission Statement

It is the mission of the officers and support staff of the Batavia Police Department to provide comprehensive, effective police services that exceed the expectations of the citizens in a timely and responsive manner.

Purpose

The Police Department provides crime suppression, traffic control, event management and community policing activities within the City. The department is tasked with establishing and implementing processes and procedures that provide the most effective possible policing for our citizens and visitors.

Major Service Activities

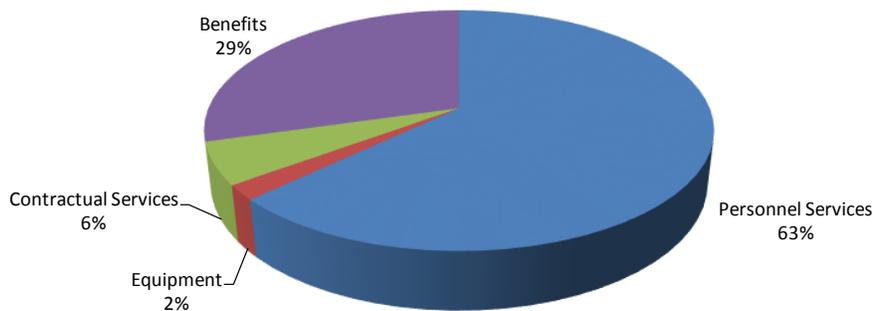
- Preventative patrols, traffic control and enforcement
- Criminal investigation
- Enforcement and crime suppression
- Community policing activities
- Interagency collaboration and work activities
- Community education

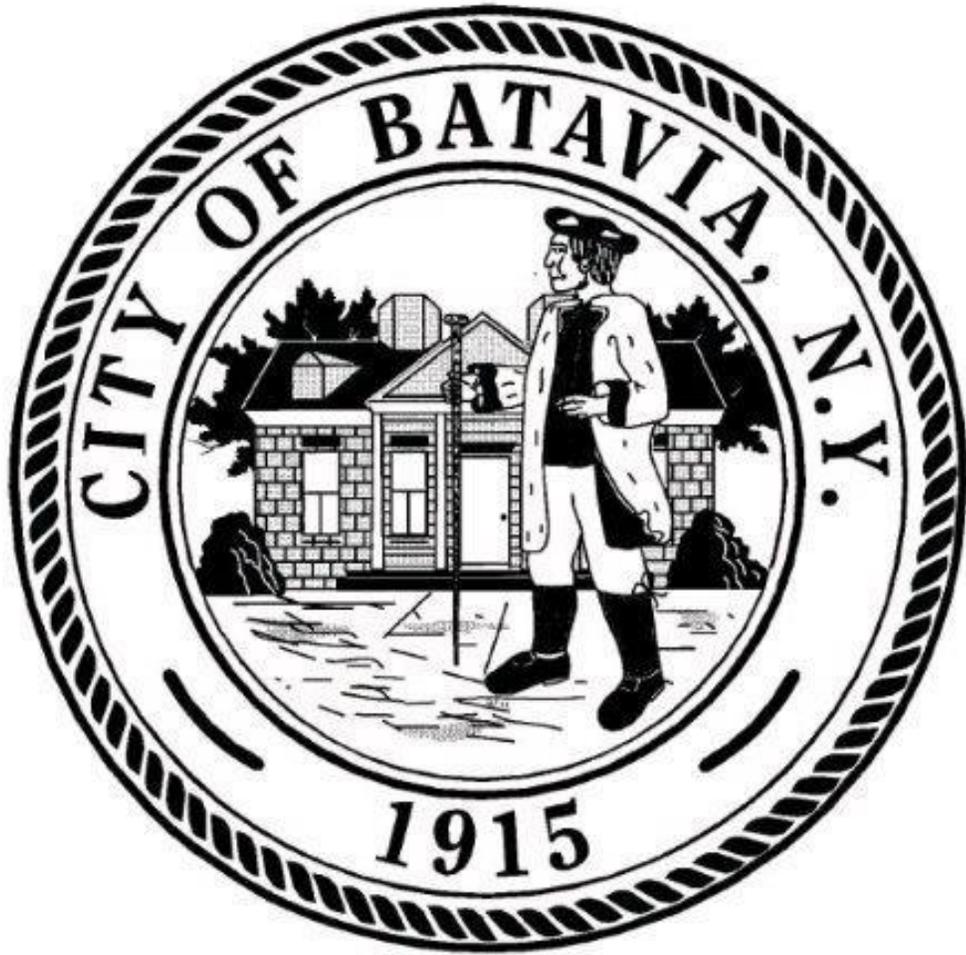
Budget Changes

- There is a \$45,000 increase in Personnel Services and Social Security as a result of wage and step increases for the personnel in the department.

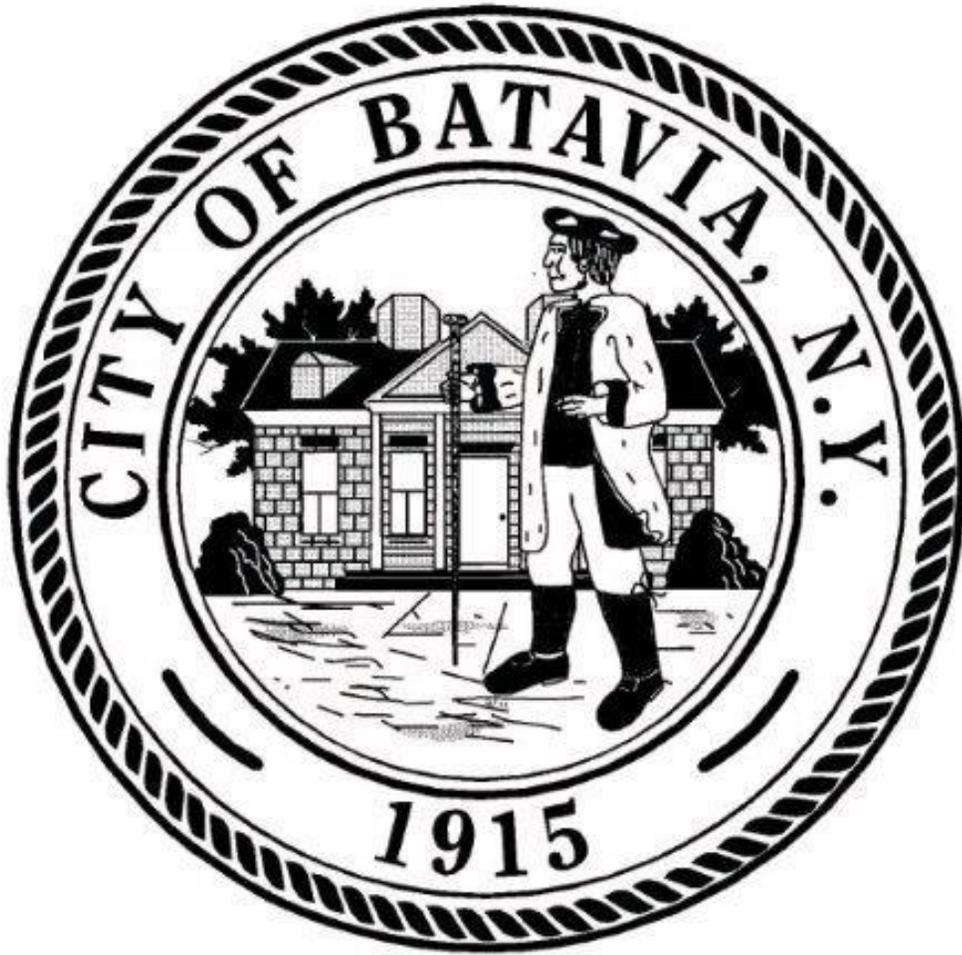
POLICE DEPARTMENT

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2021
	Actual	Budget	Projected	Proposed	Projected		
Salaries	2,025,333.08	2,251,180.00	2,251,180.00	2,303,130.00	2,366,466.08	2,431,543.89	2,498,411.35
Overtime	206,038.11	243,000.00	252,332.39	226,000.00	222,967.50	229,099.11	235,399.33
Equipment	159,885.57	85,620.00	93,151.22	80,300.00	72,057.50	73,858.94	75,705.41
Professional Fees	6,102.00	6,110.00	6,110.00	6,470.00	6,631.75	6,797.54	6,967.48
Travel & Training	43,627.49	42,550.00	48,420.55	40,200.00	41,205.00	42,235.13	43,291.00
Utilities	35,714.55	38,500.00	38,500.00	34,900.00	35,772.50	36,666.81	37,583.48
Contract Services	-	-	-	-	-	-	-
Other Expenses	177,510.35	159,310.00	174,637.98	145,480.00	149,035.50	152,679.89	156,415.38
State Retirement	595,564.13	536,340.00	428,442.00	530,340.00	543,598.50	557,188.46	571,118.17
Social Security	168,447.39	194,230.00	194,943.22	196,900.00	201,605.78	207,149.93	212,846.56
Health Insurance	-	428,850.00	-	454,290.00	465,647.25	477,288.43	489,220.64
Total Expense	3,418,222.67	3,985,690.00	3,487,717.36	4,018,010.00	4,104,987.35	4,214,508.13	4,326,958.82





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FIRE DEPARTMENT

Mission Statement

Our essential mission is to professionally protect and preserve life, property, and the environment and to minimize the loss, suffering, and damage in our community to our citizens through community partnerships, proactive prevention and education efforts, and high quality and timely response. We will do this through training, and the utilization of state-of-the-art apparatus and equipment.

Purpose

The City of Batavia's Fire Department is ready to respond to emergency calls 24 hours per day, 365 days per year. In addition to fire suppression, the department also provides first responder EMT-Defibrillator services, hazardous materials response, several technical rescue services, conducting public education classes, commercial fire safety inspections and multi-dwelling inspections.

Major Service Activities

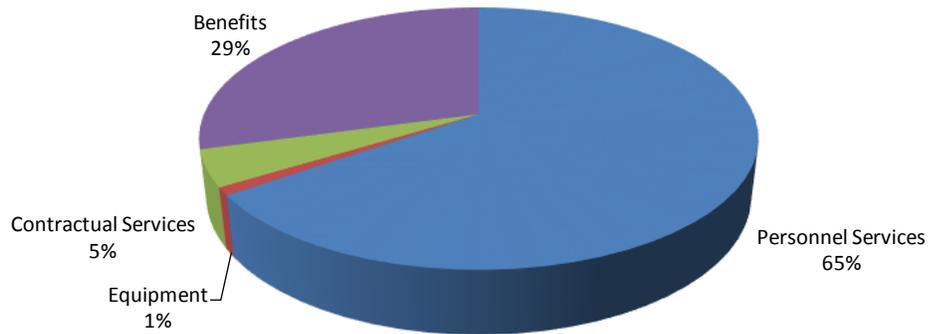
- Provide all operations for the control of fire both within the City and provide assistance to fire companies outside the City
- Provide response and mitigation for hazardous material type incidents with specialized equipment
- Perform fire safety inspections for commercial structures and multi-family dwellings
- Serve as the lead agency for City emergency management activities and training
- Provide rescue response for all type of emergencies
- Conduct child safety seat training and inspections

Budget Changes

- There is a \$91,000 increase in Personnel Services and Social Security due to wage increases and the filling of one vacant firefighter position pursuant to the collective bargaining agreement.
- In the prior year, the purchase of a thermal camera was accounted for in equipment (001.3410.0200) in the amount of \$54,000. The proposed budget includes equipment replacement of turnout gear in the amount of \$18,900.
- There is an increase of \$7,600 contract services to purchase Lexipol, a training risk assessment and accreditation subscription.

FIRE DEPARTMENT

Description	2014/2015 Actual	2015/2016 Budget	2015/2016 Projected	2016/2017 Proposed	2017/2018	2018/2019 Projected	2019/2020
Salaries	2,278,204.92	2,313,110.00	2,159,390.00	2,404,240.00	2,470,356.60	2,538,291.41	2,608,094.42
Overtime	163,704.26	139,000.00	141,500.00	139,000.00	142,822.50	146,750.12	150,785.75
Equipment	145,291.87	96,440.00	97,821.66	37,900.00	19,475.00	19,961.88	20,460.92
Professional Fees	-	-	-	-	-	-	-
Travel & Training	19,948.56	36,900.00	36,900.00	29,250.00	29,981.25	30,730.78	31,499.05
Utilities	28,755.51	32,570.00	32,570.00	28,750.00	29,468.75	30,205.47	30,960.61
Contract Services	12,762.01	14,500.00	14,500.00	22,100.00	22,652.50	23,218.81	23,799.28
Other Expenses	114,173.59	109,900.00	109,900.00	95,422.00	84,738.80	86,857.27	89,028.70
State Retirement	607,254.87	552,630.00	441,455.00	575,690.00	590,082.25	604,834.31	619,955.16
Social Security	182,394.65	189,480.00	189,628.00	196,500.00	201,903.75	207,456.10	213,161.15
Health Insurance	-	365,630.00	-	367,240.00	376,421.00	385,831.53	395,477.31
Total Expense	3,552,490.24	3,850,160.00	3,223,664.66	3,896,092.00	3,967,902.40	4,074,137.67	4,183,222.35





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DEPARTMENT OF PUBLIC WORKS

MISSION STATEMENT

The Department of Public Works will utilize City staff, equipment, available data, and any applicable technology to:

- Provide adequate, safe, and environmentally sound water supply, water distribution, wastewater collection, and wastewater treatment processes.
- Provide for a safe and efficient vehicular and pedestrian transportation system of streets and sidewalks.
- Provide for the proper conveyance of rainfall runoff from all City right-of-ways.
- Provide sufficient, safe parks and facilities for all citizens and visitors to the community.
- Provide basic building maintenance services to all City owned facilities.
- Provide for the administration of the NYS Building Code, Zoning Laws, Building Permits, Planning, Zoning, Historic Preservation and Property Maintenance Ordinances.

Purpose

Maintain the City's water, wastewater, drainage, and transportation infrastructure to support a vibrant and affordable community, provide recreational facilities and programs in a safe environment where citizens can live and play, and ensure the quality of residential and business structures and neighborhoods.

In order to accomplish our mission we must...

1. Treat all people with dignity and respect;
2. Maintain a working environment that promotes cooperation and understanding within the workforce;
3. Maintain all equipment in top working condition;
4. Insure that all properties and work areas are safe and sanitary for efficient utilization;
5. Provide an environment that will allow for a free exchange of ideas;
6. Understand, plan for, and use technology for daily operations.

DEPARTMENT OF PUBLIC WORKS

PUBLIC WORKS ADMINISTRATION

The Department of Public Works Administration is responsible for providing coordination to all bureaus of the Department of Public Works through leadership and support in order to ensure that all duties and functions are carried out effectively and efficiently. Public Works Administration also prepares and monitors the operating budgets, oversees the development and updating of the department's long term capital plan, provides project management for Federal, State and City infrastructure projects, serves as liaison to State and Federal agencies, and manages tasks and duties not specifically assigned to a bureau.

Major Service Activities

- Provide planning, coordination and oversight of all Public Works activities

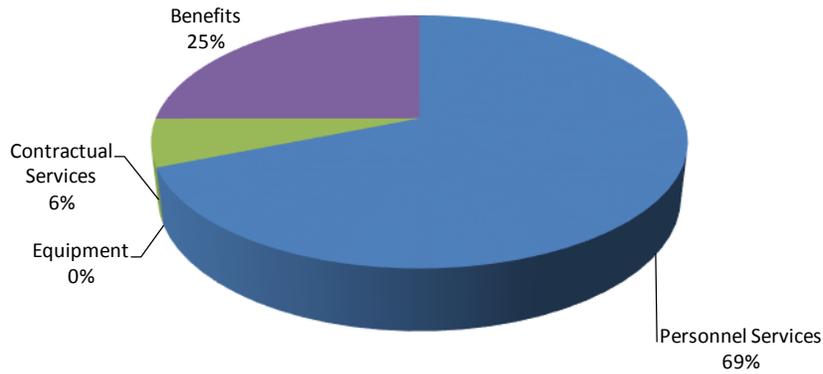
Budget Changes

- The department is experiencing a decrease of \$7,390 in health insurance expense due to a decrease in employees participating in the City's health insurance.

DEPARTMENT OF PUBLIC WORKS

PUBLIC WORKS ADMINISTRATION

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	65,881.85	69,870.00	69,870.00	72,240.00	74,046.00	75,897.15	77,794.58
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	180.00	180.00	180.00	184.50	189.11	193.84
Travel & Training	1,374.20	2,000.00	2,000.00	1,800.00	1,845.00	1,891.13	1,938.40
Utilities	1,445.25	2,000.00	2,000.00	1,750.00	1,793.75	1,838.59	1,884.56
Contract Services	-	-	-	-	-	-	-
Other Expenses	1,984.76	2,450.00	2,450.00	2,650.00	2,716.25	2,784.16	2,853.76
State Retirement	12,061.58	12,460.00	11,465.00	10,810.00	11,080.25	11,357.26	11,641.19
Social Security	4,989.35	5,350.00	5,350.00	5,530.00	5,668.25	5,809.96	5,955.21
Health Insurance	-	17,290.00	-	9,900.00	10,147.50	10,401.19	10,661.22
Total Expense	87,736.99	111,600.00	93,315.00	104,860.00	107,481.50	110,168.54	112,922.75



DEPARTMENT OF PUBLIC WORKS

ENGINEERING

The Bureau of Engineering coordinates the design and construction of the larger infrastructure projects that cannot be completed with City manpower and requires the consulting services of an outside engineering firm. Projects include water and sewer line replacement, street reconstruction and paving, sidewalk replacement, feasibility studies and major repairs to facilities.

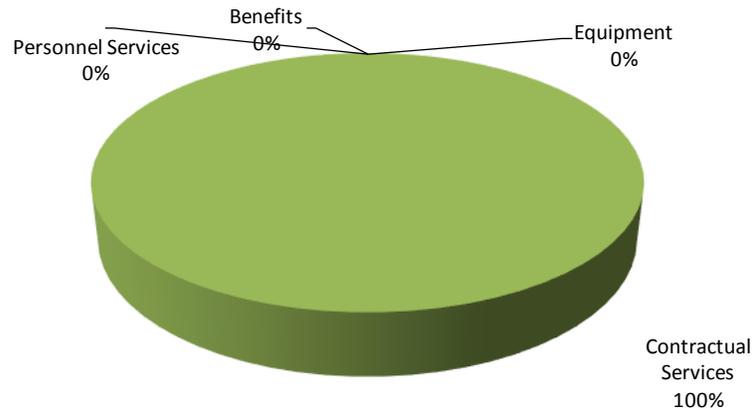
Major Service Activities

- Develop and maintain maps and other records of the City's infrastructure
- Perform capital planning and analysis of the City's infrastructure
- Develop construction plans and specifications
- Administer and inspect City construction contracts

DEPARTMENT OF PUBLIC WORKS

ENGINEERING

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	20,517.59	32,000.00	47,000.00	32,000.00	32,640.00	33,292.80	33,958.66
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	-	-	-	-	-	-	-
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	20,517.59	32,000.00	47,000.00	32,000.00	32,640.00	33,292.80	33,958.66



DEPARTMENT OF PUBLIC WORKS

CITY FACILITIES

This cost center provides for the maintenance of City Hall and the City buildings. There are a number of accounts charged to City Facilities. These include supplies and materials, contract services, travel and training, repair and maintenance, electricity, heat and custodial services.

Major Service Activities

- Provide for labor and maintenance costs associated with the upkeep of City Hall
- Provide for other costs necessary in maintaining City facilities

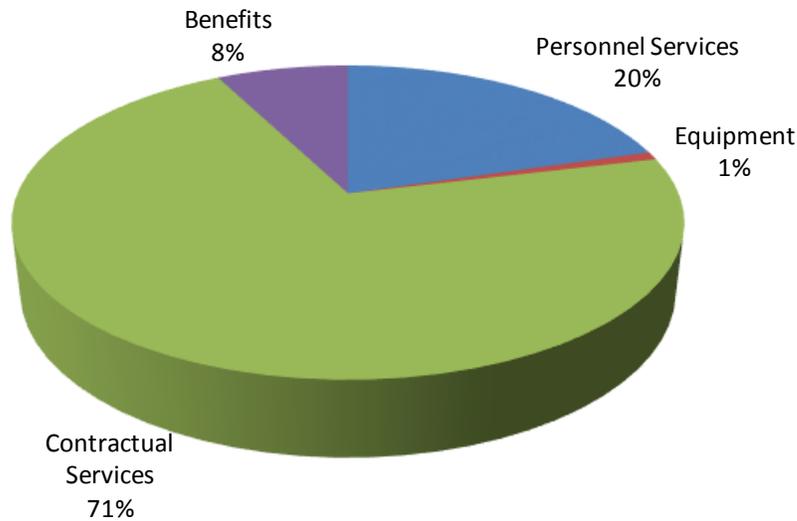
Budget Changes

- There is \$82,000 in Repair & Maintenance-Ice Rink Reserve for the replacement of dehumidifiers and locker room showers. This is a City responsibility under a lease agreement with the operator and will fund these improvements from the Ice Rink Reserve
- There is \$35,000 in Repair & Maintenance-Dwyer Stadium Reserve replacement of seating at the stadium. These will be funded from the Dwyer Stadium Repair Reserve

DEPARTMENT OF PUBLIC WORKS

CITY FACILITIES

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	48,177.60	70,290.00	79,257.87	72,900.00	74,722.50	76,590.56	78,505.33
Overtime	301.84	500.00	595.93	500.00	512.50	525.31	538.45
Equipment	4,151.47	5,500.00	16,070.00	2,950.00	3,023.75	3,099.34	3,176.83
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	30,211.47	39,000.00	39,000.00	36,500.00	37,412.50	38,347.81	39,306.51
Contract Services	80,001.22	70,850.00	73,090.18	71,510.00	73,297.75	75,130.19	77,008.45
Other Expenses	22,845.01	50,600.00	88,384.85	148,050.00	26,701.25	27,368.78	28,053.00
State Retirement	11,625.17	12,530.00	11,530.00	10,940.00	11,213.50	11,493.84	11,781.18
Social Security	3,695.57	5,420.00	5,420.00	5,620.00	5,760.50	5,904.51	6,052.13
Health Insurance	-	13,050.00	-	10,700.00	10,967.50	11,241.69	11,522.73
Total Expense	201,009.35	267,740.00	313,348.83	359,670.00	243,611.75	249,702.04	255,944.59



DEPARTMENT OF PUBLIC WORKS

INSPECTION

The Bureau of Inspection is responsible for enforcing all Federal, State, and local regulations intended to control and preserve the safe construction, alteration, use, and occupancy of all buildings and other structures in the City. The bureau administers the building code, zoning laws, and property maintenance ordinances that enhance the quality and attractiveness of the community.

Major Service Activities

- Review and process building permits
- Review and process zoning issues
- Enforce Batavia Municipal Code sections dealing with the maintenance of property
- Serve as main point of contact for residents needing information regarding the National Flood Insurance Community Rating System
- Oversee the activities of the Zoning Board of Appeals Planning and Development Committee, and Historic Preservation Commission

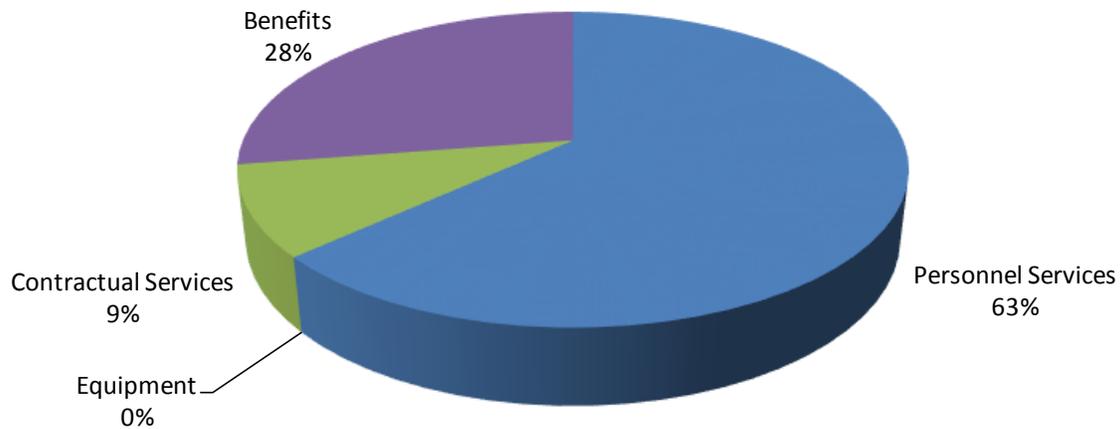
Budget Changes

- There is a \$12,165 increase in personnel services due to wage and step increases.

DEPARTMENT OF PUBLIC WORKS

INSPECTION

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	202,360.02	202,120.00	202,120.00	214,980.00	220,354.50	225,863.36	231,509.95
Overtime	-	1,000.00	1,000.00	1,500.00	1,537.50	1,575.94	1,615.34
Equipment	33,421.50	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	1,884.86	1,600.00	1,600.00	1,900.00	1,947.50	1,996.19	2,046.09
Utilities	1,850.02	2,500.00	2,500.00	2,300.00	2,357.50	2,416.44	2,476.85
Contract Services	16,774.25	18,000.00	18,000.00	18,000.00	18,450.00	18,911.25	19,384.03
Other Expenses	7,084.33	10,455.00	10,455.00	9,550.00	9,788.75	10,033.47	10,284.31
State Retirement	37,141.13	37,850.00	34,828.00	31,550.00	32,338.75	33,147.22	33,975.90
Social Security	15,331.40	15,600.00	15,600.00	16,620.00	17,035.50	17,461.39	17,897.92
Health Insurance	-	40,840.00	-	45,730.00	46,873.25	48,045.08	49,246.21
Total Expense	315,847.51	329,965.00	286,103.00	342,130.00	350,683.25	359,450.33	368,436.59



DEPARTMENT OF PUBLIC WORKS

BUREAU OF MAINTENANCE ADMINISTRATION

The Superintendent of the Bureau of Maintenance plans and directs the activities of the Bureau of Maintenance. The specific work details are covered through the separate cost center. This cost center serves as a clearinghouse for all activities.

Major Service Activities

- Provide planning, coordination and oversight of all Bureau of Maintenance activities

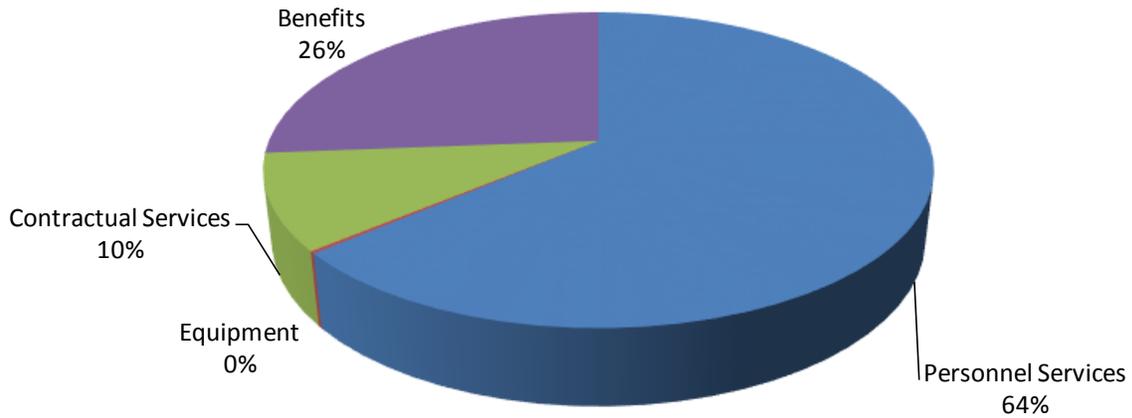
Budget Changes

- This department is experiencing a decrease of \$9,780 in the health insurance line due to a decrease in employees participating in the City's health insurance.

DEPARTMENT OF PUBLIC WORKS

BUREAU OF MAINTENANCE ADMINISTRATION

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed		Projected	
Salaries	119,810.79	124,760.00	117,750.00	126,420.00	129,580.50	132,820.01	136,140.51
Overtime	-	-	-	-	-	-	-
Equipment	4,257.50	-	-	450.00	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	1,273.00	2,000.00	2,000.00	2,000.00	2,050.00	2,101.25	2,153.78
Utilities	3,536.38	4,200.00	4,200.00	4,200.00	4,305.00	4,412.63	4,522.94
Contract Services	-	-	-	-	-	-	-
Other Expenses	12,719.29	13,200.00	13,390.00	13,240.00	13,571.00	13,910.28	14,258.03
State Retirement	22,990.36	23,460.00	21,578.00	17,570.00	18,009.25	18,459.48	18,920.97
Social Security	8,695.41	9,550.00	9,540.00	9,670.00	9,911.75	10,159.54	10,413.53
Health Insurance	-	34,580.00	-	24,800.00	25,420.00	26,055.50	26,706.89
Total Expense	173,282.73	211,750.00	168,458.00	198,350.00	202,847.50	207,918.69	213,116.65



DEPARTMENT OF PUBLIC WORKS

STREET MAINTENANCE

The Bureau of Maintenance is responsible for the safe and productive repair and maintenance of all City streets, and parking lots.

Major Service Activities

- Maintenance of 50 miles of City roads and 7 miles of State roads
- Maintain pavement markings and traffic signs
- Maintenance of 12 municipal parking lots

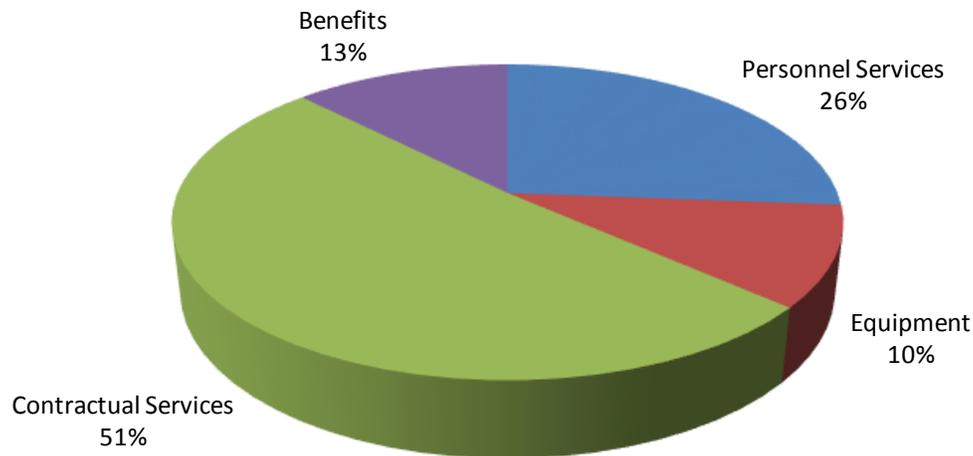
Budget Changes

- The budget proposes replacing a single axle cab and chassis. The estimated cost is \$82,000. It is proposed that the single axle cab and chassis be purchased out of the DPW reserves
- The budget proposed utilizes \$363,320 of CHIPs funding to complete over 8,346 linear feet of street resurfacings. Streets to be addressed are Central Avenue, Cherry Street, Highland Park, Pringle Avenue, Wood Street and portions of South Main Street.

DEPARTMENT OF PUBLIC WORKS

STREET MAINTENANCE

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed		Projected	
Salaries	278,059.45	213,480.00	213,480.00	211,320.00	216,603.00	222,018.08	227,568.53
Overtime	5,159.87	1,330.00	1,800.00	1,300.00	1,332.50	1,365.81	1,399.96
Equipment	8,844.15	28,650.00	28,650.00	83,500.00	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	240,965.31	252,515.00	303,815.00	414,265.00	252,218.63	253,524.09	254,862.19
State Retirement	38,959.58	37,540.00	34,543.00	30,780.00	31,549.50	32,338.24	33,146.69
Social Security	21,295.69	16,440.00	16,440.00	16,270.00	16,676.75	17,093.67	17,521.01
Health Insurance	-	57,160.00	-	53,960.00	55,309.00	56,691.73	58,109.02
Total Expense	593,284.05	607,115.00	598,728.00	811,395.00	573,689.38	583,031.61	592,607.40



DEPARTMENT OF PUBLIC WORKS

PUBLIC WORKS GARAGE

The Public Works Garage is responsible for the repair and maintenance of all City owned motorized vehicles; including police cars, fire apparatus, light duty vehicles and heavy equipment.

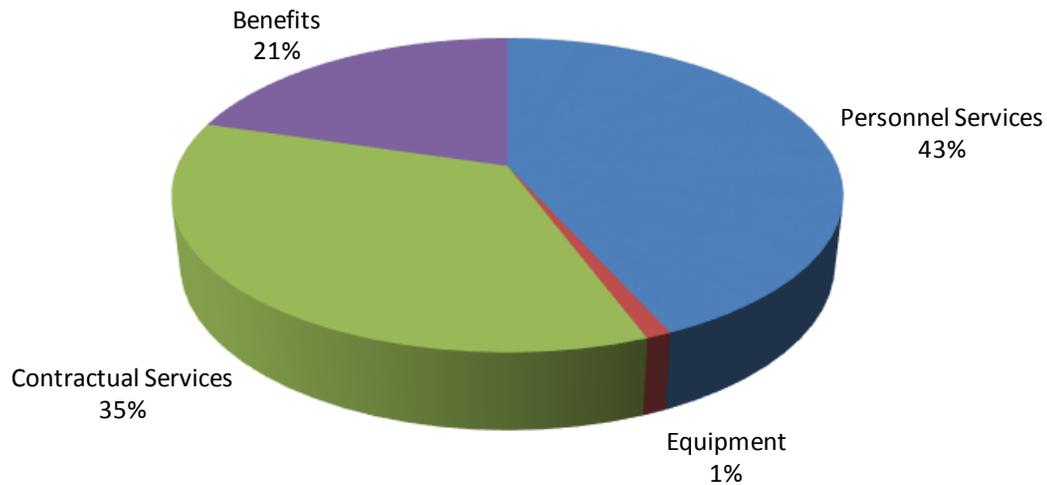
Major Service Activities

- Maintenance and repair of the entire fleet of city vehicles, heavy and small equipment

DEPARTMENT OF PUBLIC WORKS

PUBLIC WORKS GARAGE

Description	2014/2015 Actual	2015/2016 Budget	2015/2016 Projected	2016/2017 Proposed	2017/2018	2018/2019 Projected	2019/2020
Salaries	189,117.95	205,365.00	205,365.00	214,250.00	214,250.00	219,606.25	225,096.41
Overtime	6,198.23	1,000.00	1,000.00	1,000.00	1,000.00	1,025.00	1,050.63
Equipment	4,934.91	7,950.00	7,950.00	5,112.00	5,112.00	5,239.80	5,370.80
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	108,195.41	127,020.00	127,020.00	127,020.00	127,020.00	130,195.50	133,450.39
Contract Services	3,331.18	2,600.00	2,600.00	3,460.00	3,460.00	3,546.50	3,635.16
Other Expenses	67,211.51	46,700.00	84,897.00	45,200.00	45,200.00	46,330.00	47,488.25
State Retirement	39,402.45	35,330.00	32,509.00	31,120.00	31,120.00	31,898.00	32,695.45
Social Security	14,927.64	15,940.00	15,940.00	16,620.00	16,620.00	17,035.50	17,461.39
Health Insurance	-	53,440.00	-	53,440.00	53,440.00	54,776.00	56,145.40
Total Expense	433,319.28	495,345.00	477,281.00	497,222.00	497,222.00	509,652.55	522,393.86



DEPARTMENT OF PUBLIC WORKS

SNOW REMOVAL

The Bureau of Maintenance is responsible for snow and ice removal from all City streets and parking lots. A priority snow plowing plan is employed to ensure that all City streets and parking lots are easily passable and safe for all vehicular traffic.

Major Service Activities

- Snow plowing of City streets and parking lots
- Treat City streets and parking lots with de-icing agents
- Plow/ shovel city property sidewalks
- Removal of snow from parking lots
- Plow sidewalks after a 4 inch event if time and manpower permits

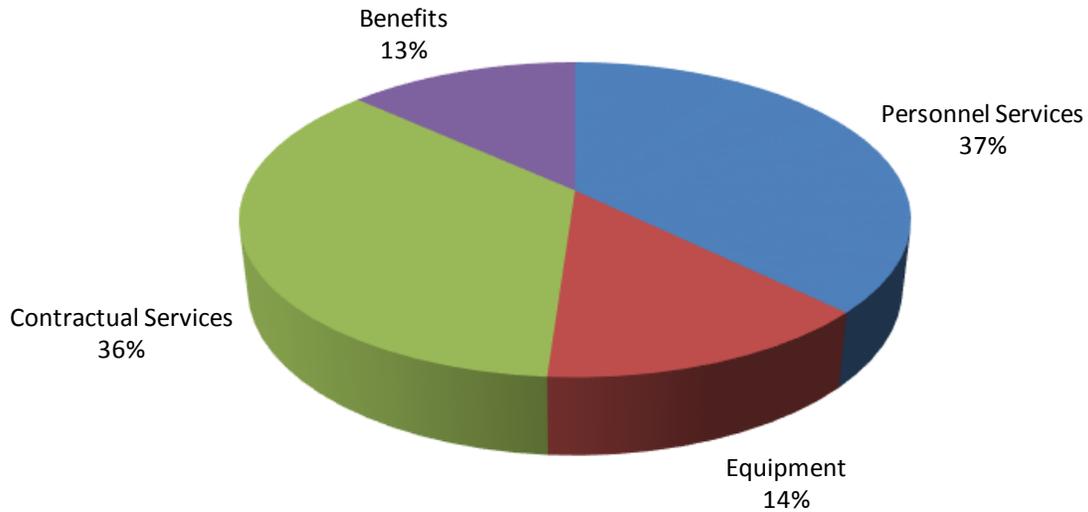
Budget Changes

- The purchase of a Plow and Dump Body is \$85,000 using DPW equipment reserves.
- There is a \$4,000 increase in Repair Plows to account for an increase in parts needed to make the necessary snow plow repairs, as well as a continued trial of a different material of more durable plow blades.
- The cost of salt has risen therefore increasing that budget line \$24,640 for the same quantity as was budgeted in the previous year.

DEPARTMENT OF PUBLIC WORKS

SNOW REMOVAL

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed		Projected	
Salaries	87,632.85	116,440.00	116,440.00	115,270.00	118,151.75	121,105.54	124,133.18
Overtime	102,398.12	120,000.00	120,000.00	115,000.00	117,875.00	120,821.88	123,842.42
Equipment	11,043.15	23,440.00	23,440.00	85,000.00	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	214,173.21	189,780.00	194,973.56	219,880.00	225,377.00	231,011.43	236,786.71
State Retirement	42,243.01	42,900.00	39,475.00	34,844.00	35,715.10	36,607.98	37,523.18
Social Security	14,229.10	18,090.00	18,090.00	17,615.00	18,055.38	18,506.76	18,969.43
Health Insurance	-	31,180.00	-	29,430.00	30,165.75	30,919.89	31,692.89
Total Expense	471,719.44	541,830.00	512,418.56	617,039.00	545,339.98	558,973.47	572,947.81



STREET LIGHTING AND TRAFFIC SIGNALS

This cost center provides funding for the operation and maintenance of street lights and traffic signals within the City. Electrical costs to operate lights and signals are charged to this account.

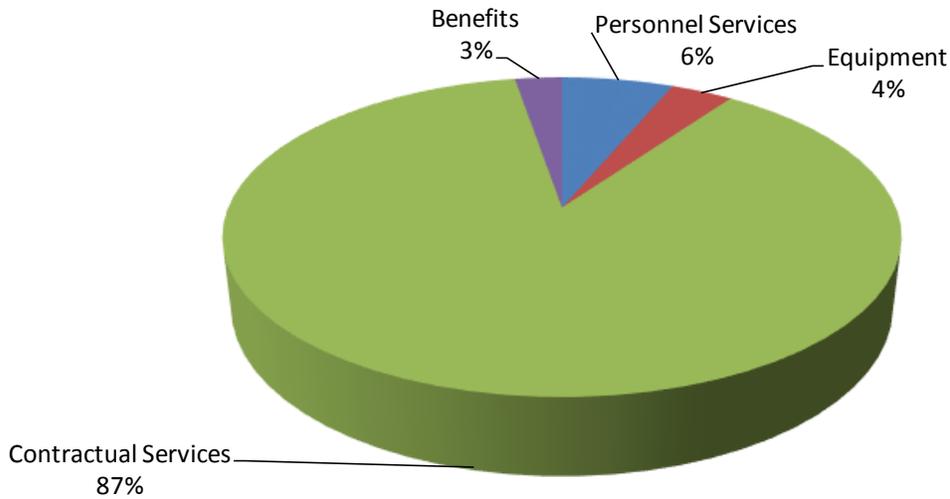
Major Service Activities

- Repair and maintenance of all City owned street lights
- Repair and maintenance of all City owned traffic signals, and NYSDOT traffic signals within the City limits

DEPARTMENT OF PUBLIC WORKS

STREET LIGHTING AND TRAFFIC SIGNALS

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	20,468.66	16,580.00	20,230.00	17,260.00	17,691.50	18,133.79	18,587.13
Overtime	189.97	750.00	750.00	750.00	768.75	787.97	807.67
Equipment	3,469.93	5,800.00	5,800.00	10,000.00	10,250.00	10,506.25	10,768.91
Professional Fees	-	-	-	-	-	-	-
Travel & Training	30.00	750.00	750.00	750.00	768.75	787.97	807.67
Utilities	221,234.72	236,000.00	235,000.00	234,000.00	239,850.00	245,846.25	251,992.41
Contract Services	-	2,000.00	6,839.00	3,500.00	3,587.50	3,677.19	3,769.12
Other Expenses	7,704.75	8,800.00	9,500.00	9,500.00	9,737.50	9,980.94	10,230.46
State Retirement	2,432.74	3,000.00	2,760.00	2,630.00	2,695.75	2,763.14	2,832.22
Social Security	1,566.15	1,330.00	1,330.00	1,380.00	1,414.50	1,449.86	1,486.11
Health Insurance	-	4,350.00	-	3,570.00	3,659.25	3,750.73	3,844.50
Total Expense	257,096.92	279,360.00	282,959.00	283,340.00	290,423.50	297,684.09	305,126.19



SIDEWALK REPAIRS

This cost center is used for sidewalk replacement.

Major Service Activity

- Contract replacement of sidewalks

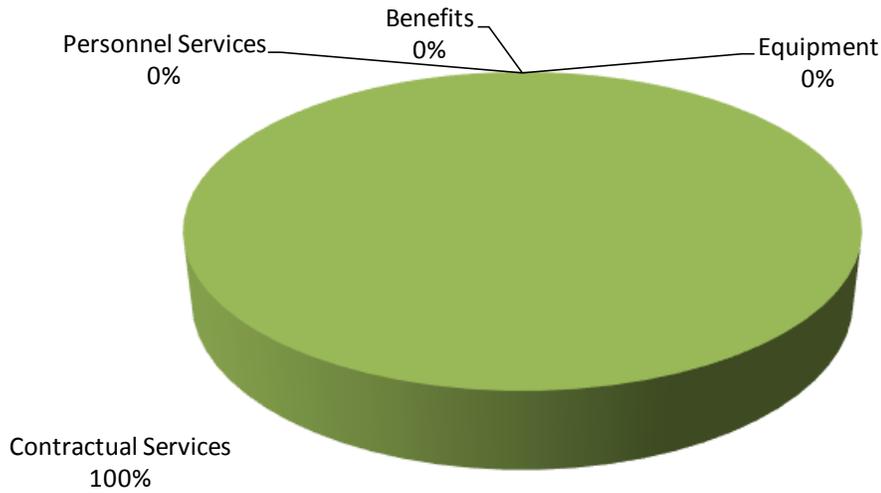
Budget Change

- Continuing efforts to make significant headway with sidewalk replacements, the proposed budget recommends completing 6,459 linear feet of sidewalk replacement and curb ramps. It proposes Sidewalk Capital Reserve funds be used to complete the \$103,330 of sidewalk work in addition to \$156,660 for consolidated Highway Aid. Sidewalks to be replaced will include portions of Central Avenue, Pringle Avenue, Cherry Street, Highland Park, Wood Street and South Main Street.

DEPARTMENT OF PUBLIC WORKS

SIDEWALK REPAIRS

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	14,047.85	318,558.00	338,558.00	259,990.00	-	-	-
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	14,047.85	318,558.00	338,558.00	259,990.00	-	-	-



DEPARTMENT OF PUBLIC WORKS

PARKING LOTS

The Bureau of Maintenance is responsible for maintaining 12 municipal parking lots. This cost center identifies capital improvements to municipal parking lots consistent with the City's Parking Lot and Sports Surface Management Plan.

Budget Change

- The parking lots and courts at Kibbe Park are scheduled for improvement in fiscal year 2017 for \$35,200.

DEPARTMENT OF PUBLIC WORKS

PARKING LOTS

Description	2014/2015 Actual	2015/2016 Budget	2015/2016 Projected	2016/2017 Proposed	2017/2018	2018/2019 Projected	2019/2020
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	28,725.75	-	-	35,200.00	57,690.35	41,377.02	32,857.56
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	28,725.75	-	-	35,200.00	57,690.35	41,377.02	32,857.56

DEPARTMENT OF PUBLIC WORKS

PARKS

The Bureau of Maintenance is responsible for the maintenance and operations of all City parks, athletic fields, tennis courts, Spray Park, City Hall grounds, and other City owned green spans. This account also provides funding for tree trimming and removal of trees on City properties and efforts to beautify the City.

Major Service Activities

- Maintenance of 95 acres of City parklands
- Maintain the grounds of the Police Department, Youth Bureau, Public Works Garage, City Hall and the downtown corridor
- Operates the City's yard waste station
- Install and maintain hanging flower baskets, and banners
- Provide for tree trimming, removal and planting of new trees on City owned property
- Set-up/Breakdown for special events such as Jackson Square concerts, Summer in City, Picnic in the Park, City Market, the Ramble and more

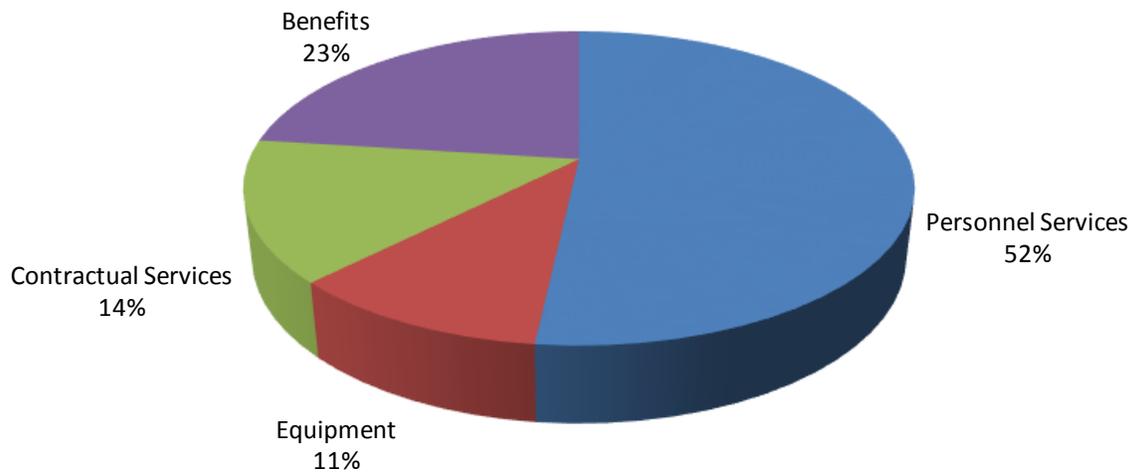
Budget Change

- There is an increase of \$71,400 in equipment – DPW Reserve due to the purchase of a wide area mower and UTV replacement purchases.
- There is \$7,680 allocated to removing and planting trees on Oak Street.

DEPARTMENT OF PUBLIC WORKS

PARKS

Description	2014/2015 Actual	2015/2016 Budget	2015/2016 Projected	2016/2017 Proposed	2017/2018	2018/2019 Projected	2019/2020
Salaries	345,579.60	337,020.00	337,020.00	339,300.00	347,782.50	356,477.06	365,388.99
Overtime	9,109.66	10,000.00	10,000.00	10,000.00	10,250.00	10,506.25	10,768.91
Equipment	108,699.89	1,000.00	8,352.04	72,450.00	1,076.25	1,103.16	1,130.74
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	55,688.86	98,230.00	132,728.00	98,230.00	100,685.75	103,202.89	105,782.97
State Retirement	59,275.04	57,820.00	53,204.00	47,440.00	48,626.00	49,841.65	51,087.69
Social Security	27,507.70	26,550.00	26,550.00	26,720.00	27,388.00	28,072.70	28,774.52
Health Insurance	-	85,730.00	-	80,930.00	82,953.25	85,027.08	87,152.76
Total Expense	605,860.75	616,350.00	567,854.04	675,070.00	618,761.75	634,230.79	650,086.56



HISTORIC PRESERVATION

This cost center supports the Historic Preservation Commission whose responsibility is to protect and enhance the landmarks and historic districts within the City of Batavia

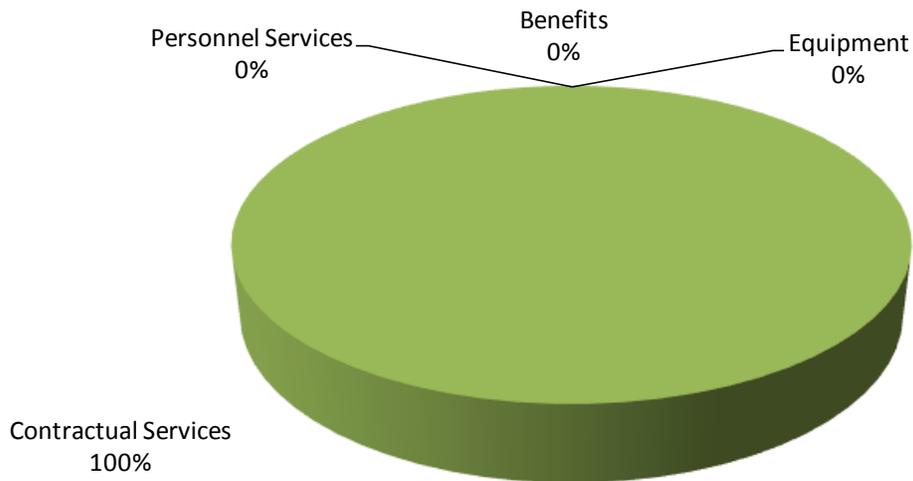
Major Service Activities

- Protect and enhance the landmarks and historic districts which represent distinctive elements of the City of Batavia's historic, architectural and cultural heritage
- Foster civic pride in the accomplishments of the past
- Protect and enhance the City of Batavia's attractiveness to visitors and the support and stimulus to the economy thereby provided
- Ensure the harmonious, orderly and efficient growth and development of the City

DEPARTMENT OF PUBLIC WORKS

HISTORIC PRESERVATION

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	432.71	350.00	350.00	400.00	404.00	408.04	412.12
Utilities	-	-	-	-	-	-	-
Contract Services	20.00	500.00	500.00	500.00	505.00	510.05	515.15
Other Expenses	401.23	1,545.00	1,545.00	1,200.00	1,212.00	1,224.12	1,236.36
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	853.94	2,395.00	2,395.00	2,100.00	2,121.00	2,142.21	2,163.63



PLANNING AND ZONING BOARDS

This cost center supports the Planning and Development Committee and Zoning Board of Appeals.

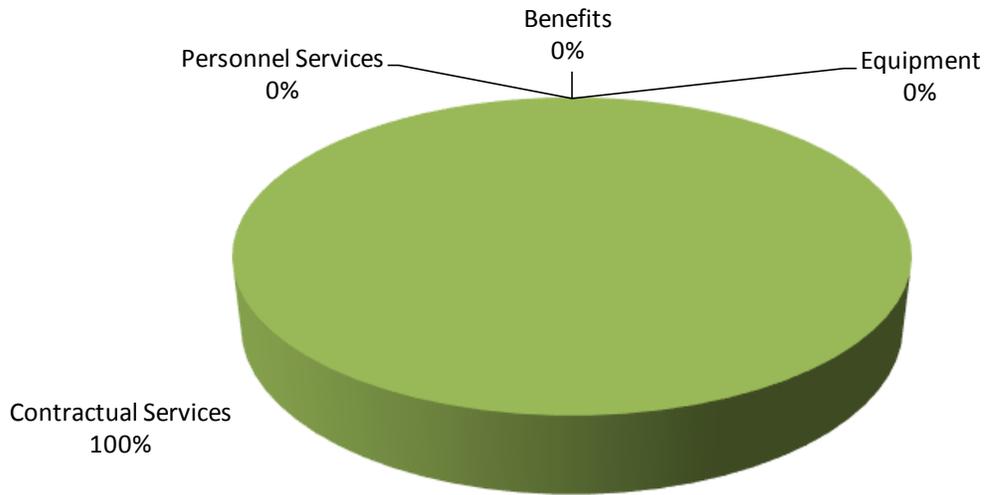
Major Service Activities

- Developing a plan to maximize the proper use of public and private lands as outlined in the Comprehensive Plan of the City
- Provide such advice as to assist the City Council in developing a strategy that interprets, plans and leads in the implementation of the land use components of the Comprehensive Plan of the City
- Review and approve or disapprove the aesthetics and architectural design on all new construction plans and/or extensive renovations to the exterior of any building within the City of Batavia, excluding industrial buildings
- With authorization of Council, the power to review and approve or disapprove site plans and plats
- Hear and decide appeals and requests for variances from the requirements of Zoning Code
- Hear and decide appeals when it is alleged that there is an error in any requirement, decision or determination made by the local administrator in the enforcement or administration of the Zoning Code

DEPARTMENT OF PUBLIC WORKS

PLANNING AND ZONING BOARDS

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	35.42	1,000.00	1,000.00	900.00	909.00	918.09	927.27
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	1,703.43	2,200.00	2,200.00	2,300.00	2,323.00	2,346.23	2,369.69
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	1,738.85	3,200.00	3,200.00	3,200.00	3,232.00	3,264.32	3,296.96



DEPARTMENT OF PUBLIC WORKS

STORM SEWER

Under the direction of the Public Works, the Bureau of Maintenance is responsible for repair of City owned storm sewer lines and catch basins. The Bureau of Maintenance also provides storm sewer maintenance and inspection programs that include flushing, cleaning and televising storm sewer lines. The Bureau of Water and Wastewater operates and maintains storm sewer pumping stations where gravity sewers are collect and pump directly to an open waterway or an adjacent gravity sewer which is not as deep.

Major Service Activities

- Clean and inspect all storm sewer lines
- Repair catch basins and manholes
- Maintenance of electrical, control and pumping systems at pump stations

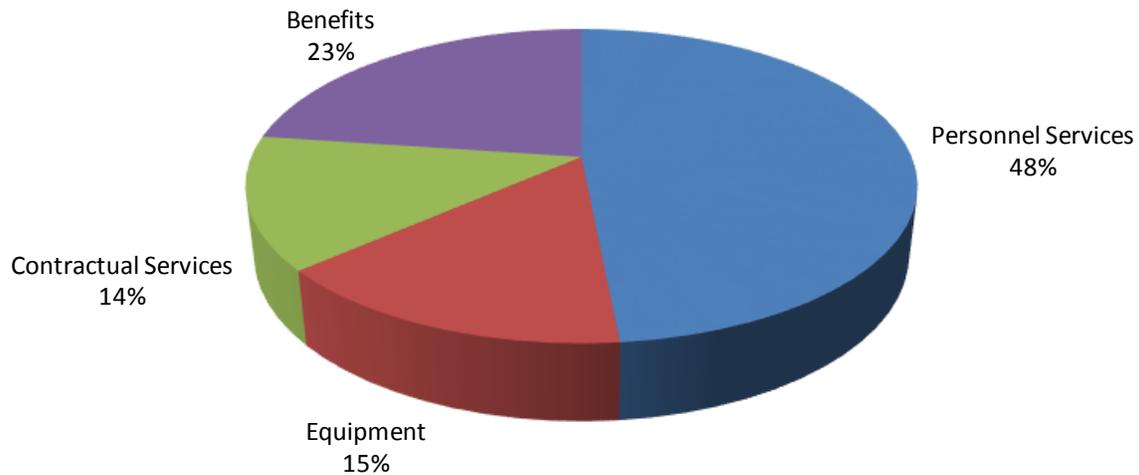
Budget Changes

- Equipment has increased \$35,000 due to the replacement of the Lehigh storm pump station electric service.

DEPARTMENT OF PUBLIC WORKS

STORM SEWER

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	66,811.00	115,060.00	118,860.00	114,240.00	117,096.00	120,023.40	123,023.99
Overtime	1,561.27	1,300.00	1,300.00	1,300.00	1,332.50	1,365.81	1,399.96
Equipment	597.75	8,885.00	30,914.25	35,900.00	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	11,253.47	12,000.00	12,000.00	12,000.00	12,300.00	12,607.50	12,922.69
Contract Services	-	-	-	-	-	-	-
Other Expenses	15,249.21	19,905.00	20,510.00	20,530.00	21,043.25	21,569.33	22,108.56
State Retirement	20,891.15	20,330.00	18,707.00	16,740.00	17,158.50	17,587.46	18,027.15
Social Security	5,116.50	8,910.00	8,910.00	8,840.00	9,061.00	9,287.53	9,519.71
Health Insurance	-	30,760.00	-	28,770.00	29,489.25	30,226.48	30,982.14
Total Expense	121,480.35	217,150.00	211,201.25	238,320.00	207,480.50	212,667.51	217,984.20



REFUSE AND RECYCLING

The Bureau of Maintenance maintains the Yard Waste Station where City residents and other City departments can drop off yard waste; such as leaves, limbs, grass clippings and brush for disposal.

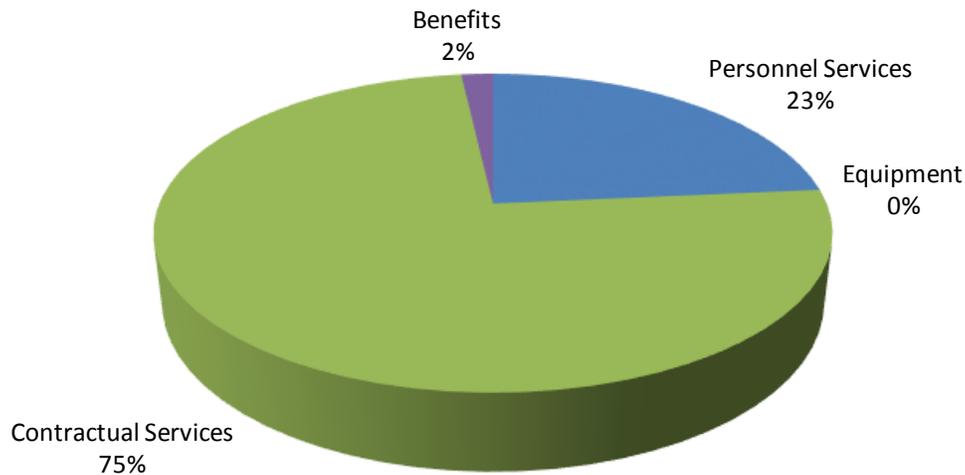
Major Service Activities

- Regulate the types of materials dropped off at the station
- Dispose of yard waste materials by grinding it into compost material

DEPARTMENT OF PUBLIC WORKS

REFUSE AND RECYCLING

Description	2014/2015 Actual	2015/2016 Budget	2015/2016 Projected	2016/2017 Proposed	2017/2018	2018/2019 Projected	2019/2020
Salaries	12,254.25	12,660.00	12,660.00	13,820.00	14,165.50	14,519.64	14,882.63
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	43,854.02	48,800.00	48,800.00	43,800.00	44,895.00	46,017.38	47,167.81
State Retirement	-	-	-	-	-	-	-
Social Security	937.59	970.00	970.00	1,060.00	1,086.50	1,113.66	1,141.50
Health Insurance	-	-	-	-	-	-	-
Total Expense	57,045.86	62,430.00	62,430.00	58,680.00	60,147.00	61,650.68	63,191.94



DEPARTMENT OF PUBLIC WORKS

STREET CLEANING

The Bureau of Maintenance is responsible for sweeping and cleaning City streets and parking lots. Costs associated with street cleaning are included in this cost center.

Major Service Activities

- Utilize street sweeping machinery
- Utilize other equipment for leaf pickup

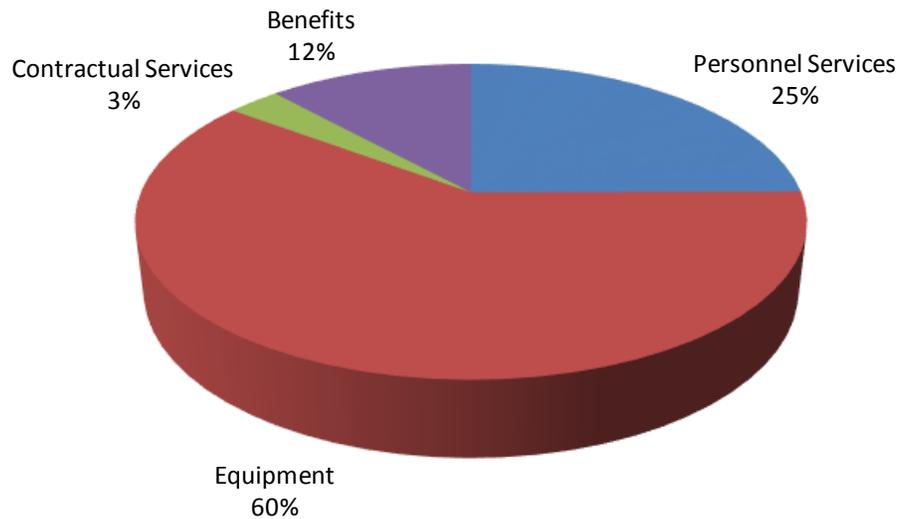
Budget Changes

- There is an increase of \$200,000 in the equipment line to replace the street sweeper. This will be funded by the DPW reserve.

DEPARTMENT OF PUBLIC WORKS

STREET CLEANING

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
Description	Actual	Budget	Projected	Proposed	Projected		
Salaries	52,558.99	82,490.00	82,490.00	81,650.00	83,691.25	85,783.53	87,928.12
Overtime	891.21	1,000.00	1,000.00	1,000.00	1,025.00	1,050.63	1,076.89
Equipment	1,200.00	1,200.00	1,200.00	200,000.00	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	10,098.46	11,500.00	11,500.00	10,000.00	10,250.00	10,506.25	10,768.91
State Retirement	15,163.57	14,600.00	13,434.00	11,970.00	12,269.25	12,575.98	12,890.38
Social Security	4,047.04	6,390.00	6,390.00	6,330.00	6,488.25	6,650.46	6,816.72
Health Insurance	-	22,090.00	-	20,840.00	21,361.00	21,895.03	22,442.40
Total Expense	83,959.27	139,270.00	116,014.00	331,790.00	135,084.75	138,461.87	141,923.42





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WATER FUND

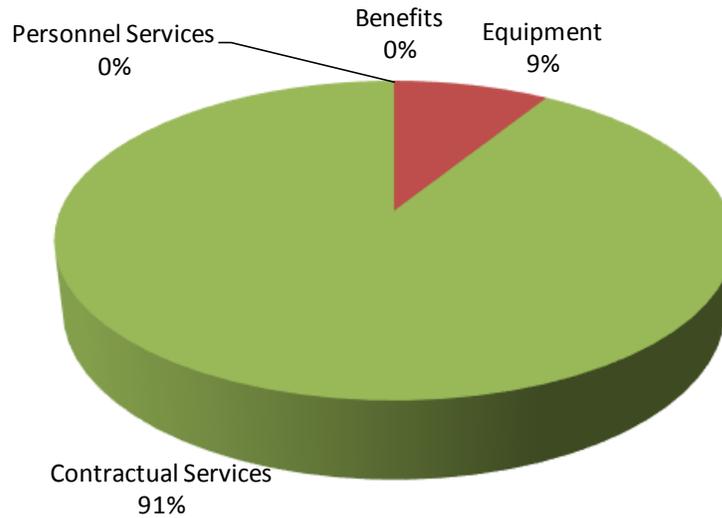
RESERVES

These are budgetary accounts set up for the purpose of funding various reserves established pursuant to General Municipal Law, §6-c and §6-j. They include several Capital (type) reserve funds.

WATER FUND

RESERVES

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	12,500.00	12,500.00	12,500.00	12,500.00	12,500.00	12,500.00
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	-	69,586.00	69,586.00	128,439.00	132,292.17	136,260.94	140,348.76
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	-	82,086.00	82,086.00	140,939.00	144,792.17	148,760.94	152,848.76



WATER FUND

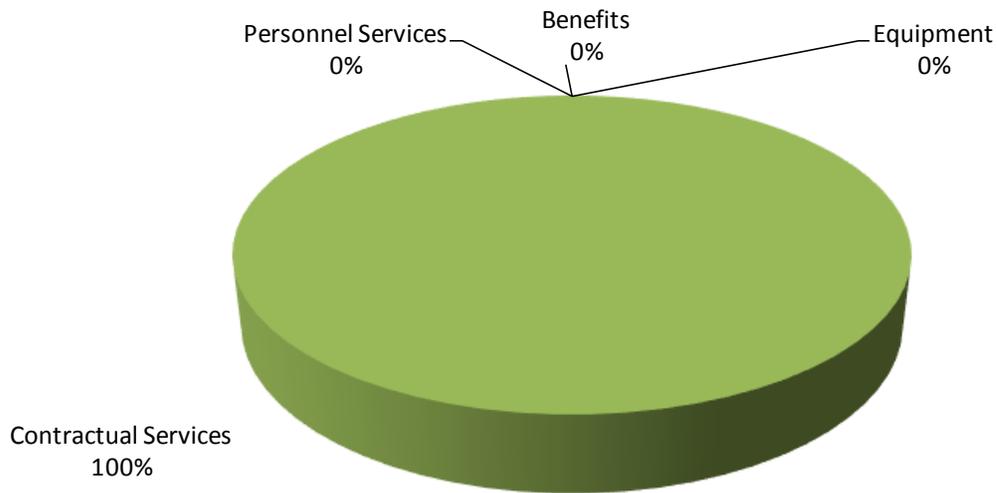
CONTINGENCY

The contingency line is included in the budget to provide funding for unexpected events. Expenditures may not be charged directly to the contingency appropriation. The City Council must first modify the budget by transferring from the contingency appropriation to the expense account needing funding. Using the contingency appropriation does not increase the original budget, it reallocates funding.

WATER FUND

CONTINGENCY

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	-	18,489.00	18,489.00	15,000.00	15,000.00	15,000.00	15,000.00
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	-	18,489.00	18,489.00	15,000.00	15,000.00	15,000.00	15,000.00



DEPRECIATION

Depreciation is the cost of a fixed asset charged as an expense during a particular period, where the cost of the fixed asset is prorated over the estimated service life of the asset and a portion of that cost is charged to depreciation each reporting period. The entire cost of the asset is ultimately charged off as an expense.



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WATER FUND

ADMINISTRATION

Water Administration has the responsibility for planning, directing and coordinating Batavia's water systems. This includes maintenance of water lines, inspection and testing, customer relations, personnel management, water billing and reporting, and record keeping.

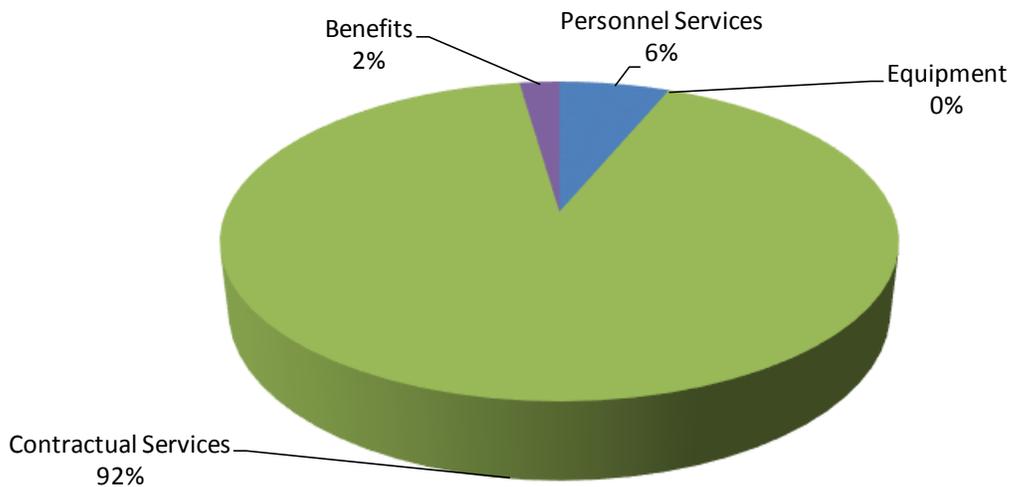
Major Service Activities

- Perform water meter readings
- Conduct water billing
- Maintain computerized records
- Review and recommend any system modifications

WATER FUND

ADMINISTRATION

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	130,061.57	147,770.00	140,550.00	150,830.00	154,600.75	158,465.77	162,427.41
Overtime	319.45	500.00	500.00	500.00	512.50	525.31	538.45
Equipment	-	16,150.00	16,150.00	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	1,388.12	1,800.00	1,800.00	1,800.00	1,845.00	1,891.13	1,938.40
Utilities	997.52	1,250.00	1,250.00	1,250.00	1,281.25	1,313.28	1,346.11
Contract Services	2,101,105.65	2,065,300.00	2,072,157.14	2,152,500.00	2,163,262.50	2,174,078.81	2,184,949.21
Other Expenses	43,691.57	44,425.00	44,425.00	46,620.00	47,785.50	48,980.14	50,204.64
State Retirement	26,658.05	27,490.00	25,295.00	21,510.00	22,047.75	22,598.94	23,163.92
Social Security	9,778.21	11,350.00	11,350.00	11,580.00	11,869.50	12,166.24	12,470.39
Health Insurance	-	23,290.00	-	21,580.00	22,119.50	22,672.49	23,239.30
Total Expense	2,314,000.14	2,339,325.00	2,313,477.14	2,408,170.00	2,425,324.25	2,442,692.11	2,460,277.83



WATER FUND

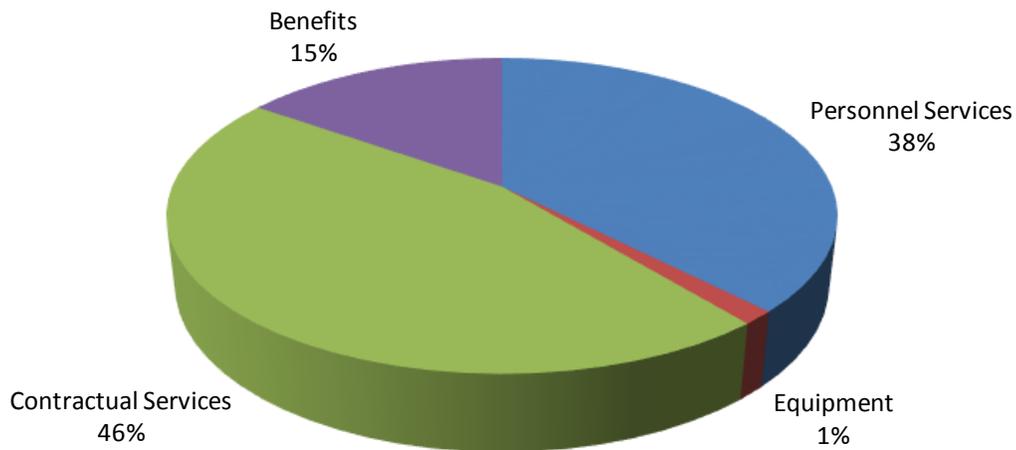
PUMP AND FILTRATION

This account provides funding for the maintenance and operation of the Water Treatment Plant, which provides residents of Batavia with water. Proper water treatment is a highly technical, sensitive process involving intake, chemical treatment, filtration, chlorination, storage and distribution to customers. All water is treated to meet regulatory requirements of the NYSDOH and the USEPA.

WATER FUND

PUMP AND FILTRATION

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed		Projected	
Salaries	422,868.51	440,730.00	440,730.00	452,050.00	463,351.25	474,935.03	486,808.41
Overtime	30,145.77	30,000.00	30,000.00	31,000.00	31,775.00	32,569.38	33,383.61
Equipment	48,022.59	25,400.00	25,400.00	17,750.00	18,193.75	18,648.59	19,114.81
Professional Fees	-	-	-	-	-	-	-
Travel & Training	2,099.83	2,500.00	2,500.00	2,500.00	2,562.50	2,626.56	2,692.23
Utilities	153,064.94	178,250.00	178,250.00	166,600.00	170,765.00	175,034.13	179,409.98
Contract Services	93,625.13	420,000.00	442,681.06	72,000.00	73,800.00	75,645.00	77,536.13
Other Expenses	327,782.07	328,900.00	341,765.57	346,300.00	354,957.50	363,831.44	372,927.22
State Retirement	79,119.90	86,850.00	79,916.00	73,300.00	75,132.50	77,010.81	78,936.08
Social Security	34,302.13	36,090.00	36,090.00	36,960.00	37,884.00	38,831.10	39,801.88
Health Insurance	10,964.00	85,400.00	-	85,910.00	88,057.75	90,259.19	92,515.67
Total Expense	1,201,994.87	1,634,120.00	1,577,332.63	1,284,370.00	1,316,479.25	1,349,391.23	1,383,126.01



WATER FUND

WATER DISTRIBUTION

This cost center includes expenditures for the maintenance of the water distribution system. This includes testing, calibrating and maintaining meters for residential, commercial and industrial customers

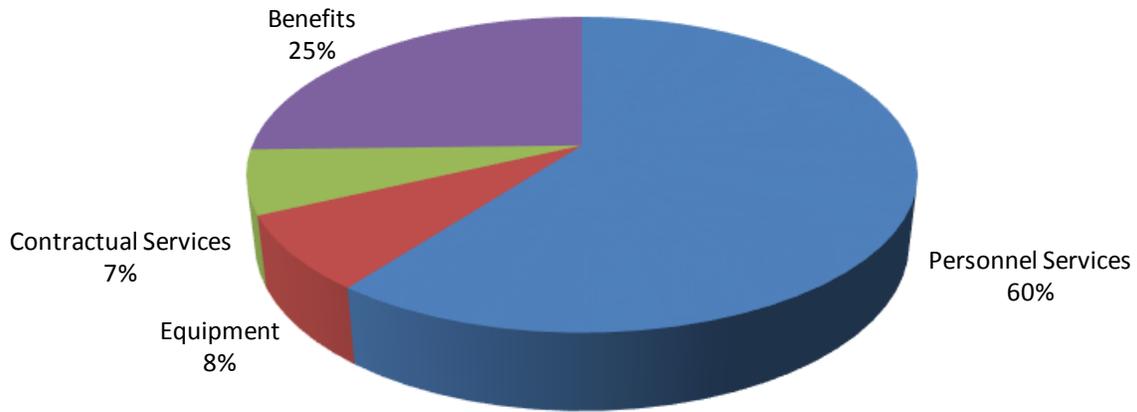
Major Service Activities

- Perform meter and valve repairs and installation
- Perform hydrant repair and maintenance
- Perform water line repairs, both main lines and services
- Maintain necessary certifications for operation personnel

WATER FUND

WATER DISTRIBUTION

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	253,231.14	240,300.00	263,220.00	250,180.00	256,434.50	262,845.36	269,416.50
Overtime	15,579.57	8,500.00	8,500.00	10,000.00	10,250.00	10,506.25	10,768.91
Equipment	18,498.18	18,150.00	22,000.00	33,150.00	16,553.75	16,967.59	17,391.78
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	83,635.00	-	-	-	-	-	-
Other Expenses	58,253.38	28,250.00	28,250.00	28,250.00	28,956.25	29,680.16	30,422.16
State Retirement	38,858.91	43,010.00	39,576.00	37,950.00	38,898.75	39,871.22	40,868.00
Social Security	20,053.62	19,040.00	19,040.00	19,910.00	20,407.75	20,917.94	21,440.89
Health Insurance	-	63,070.00	-	51,720.00	53,013.00	54,338.33	55,696.78
Total Expense	488,109.80	420,320.00	380,586.00	431,160.00	424,514.00	435,126.85	446,005.02



WATER FUND

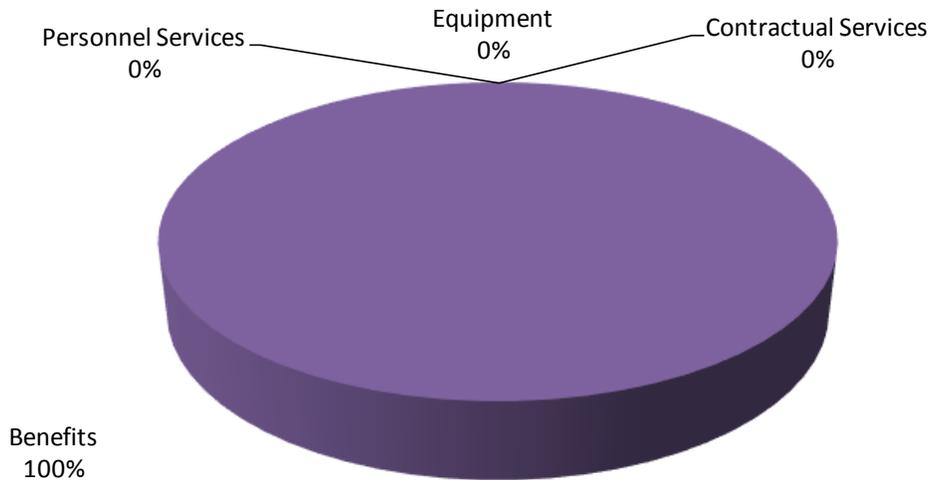
MEDICAL INSURANCE

Hospital, medical and dental insurance expenditures paid by the City on behalf of employees.

WATER FUND

MEDICAL INSURANCE

Description	2014/2015 Actual	2015/2016 Budget	2015/2016 Projected	2016/2017 Proposed	2017/2018	2018/2019 Projected	2019/2020
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	-	-	-	-	-	-	-
State Retirement	-	-	-	-	-	-	-
Social Security	737.22	810.00	810.00	1,000.00	1,030.00	1,060.90	1,092.73
Health Insurance	140,989.70	340.00	172,100.00	-	-	-	-
Total Expense	141,726.92	1,150.00	172,910.00	1,000.00	1,030.00	1,060.90	1,092.73



WATER FUND

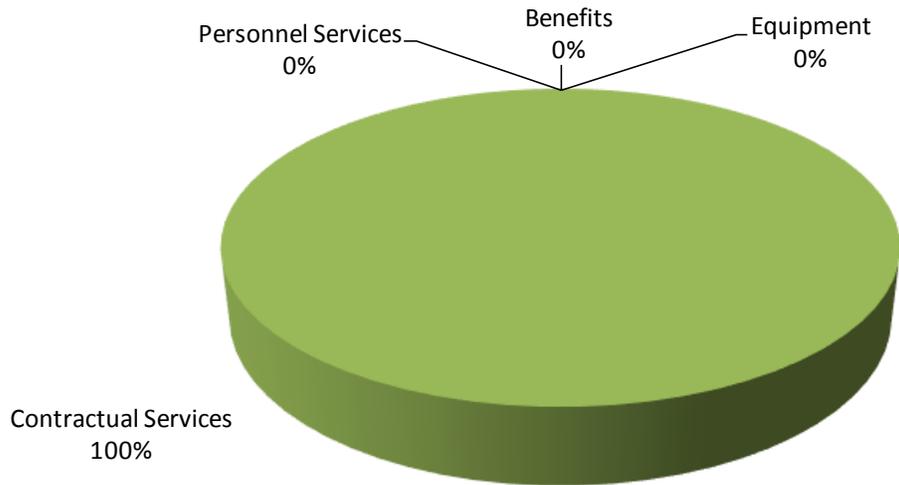
DEBT SERVICE-BONDS

Expenditures for long-term debt principal and interest payments of serial bonds.

WATER FUND

DEBT SERVICE-BONDS

Description	2014/2015 Actual	2015/2016 Budget	2015/2016 Projected	2016/2017 Proposed	2017/2018	2018/2019 Projected	2019/2020
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	11,440.61	25,663.00	25,663.00	25,800.00	26,062.50	25,742.50	25,922.50
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	11,440.61	25,663.00	25,663.00	25,800.00	26,062.50	25,742.50	25,922.50



WATER FUND

DEBT SERVICE-BAN

Expenditures for long-term debt principal and interest payments for bond anticipation notes.

WATER FUND

DEBT SERVICE-BAN

Description	2014/2015 Actual	2015/2016 Budget	2015/2016 Projected	2016/2017 Proposed	2017/2018	2018/2019 Projected	2019/2020
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	-	-	-	3,300.00	3,300.00	3,300.00	3,300.00
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	-	-	-	3,300.00	3,300.00	3,300.00	3,300.00

WATER FUND

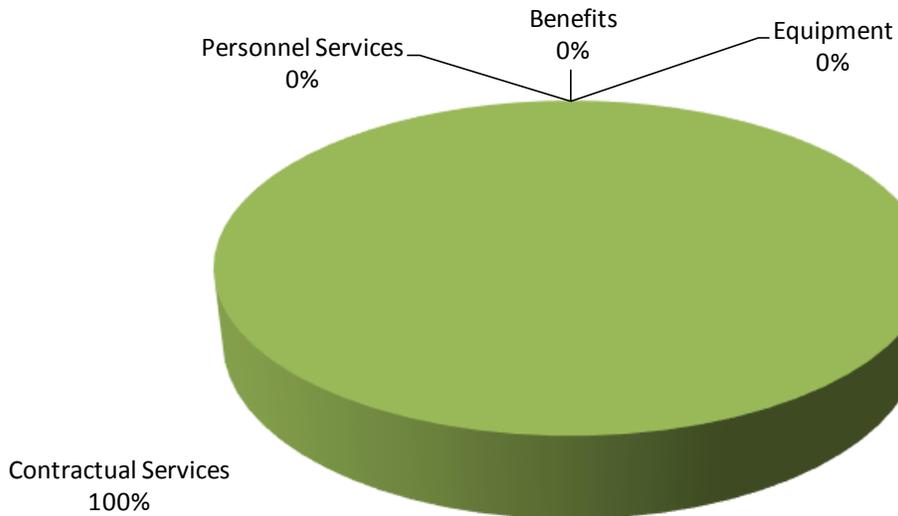
INSTALLMENT PURCHASE DEBT-MUNICIPAL LEASE

Expenditures for long-term debt principal and interest payments of Installment Purchase Debt. Debt under this category was used to purchase a Vac Con truck. The municipal lease is paid in full in fiscal year 2020.

WATER FUND

INSTALLMENT PURCHASE DEBT-MUNICIPAL LEASE

Description	2014/2015 Actual	2015/2016 Budget	2015/2016 Projected	2016/2017 Proposed	2017/2018	2018/2019 Projected	2019/2020
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	365.58	4,032.00	4,032.00	4,031.00	4,031.59	4,031.59	2,015.83
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	365.58	4,032.00	4,032.00	4,031.00	4,031.59	4,031.59	2,015.83



WATER FUND

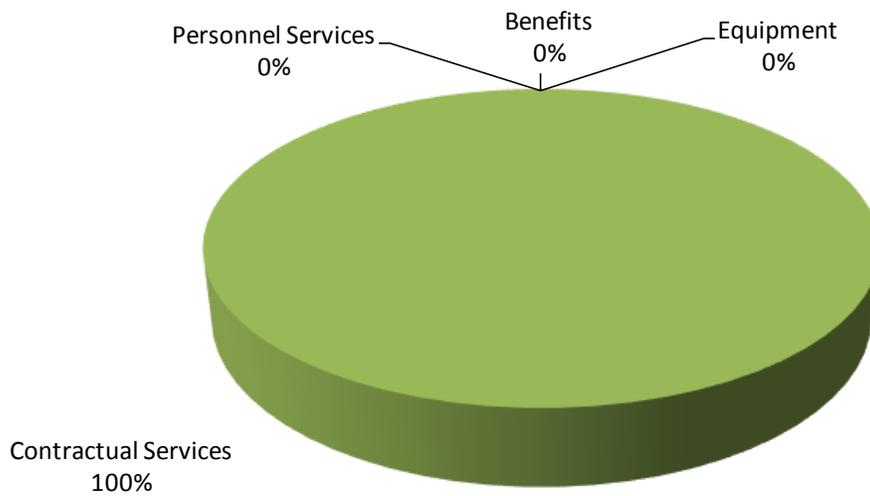
DEBT SERVICE-ENERGY LEASE

Expenditures for long-term debt principal and interest payments of other long-term debt. Debt under this category was used to fund an energy performance construction project for all City facilities. The energy lease is paid in full in fiscal year 2022.

WATER FUND

DEBT SERVICE-ENERGY LEASE

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	2,546.34	17,481.00	17,481.00	18,010.00	18,556.45	19,118.40	19,697.31
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	2,546.34	17,481.00	17,481.00	18,010.00	18,556.45	19,118.40	19,697.31



WATER FUND

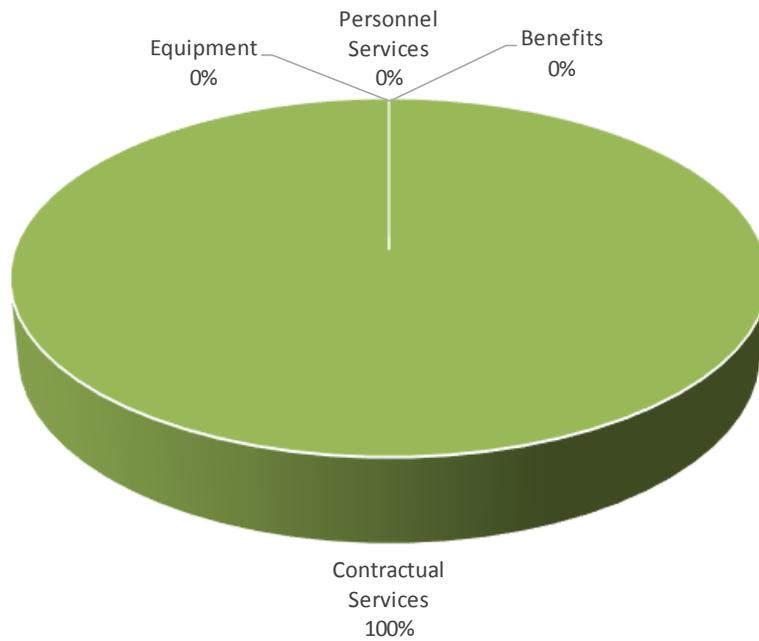
TRANSFERS FOR CAPITAL PROJECTS

Water-Capital Projects includes those projects, purchases, and developments which represent a long-term or permanent improvement. For purposes of definition, capital improvements represent an undertaking that has a specific objective, can be easily distinguishable from other work being performed, has a definite beginning and end, does not occur annually, and has a total cost in excess of \$50,000 for building, and building and site improvements; or \$200,000 for infrastructure.

WATER FUND

TRANSFERS FOR CAPITAL PROJECTS

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed		Projected	
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	163,502.77	-	-	700,000.00	-	-	-
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	163,502.77	-	-	700,000.00	-	-	-



WATER FUND

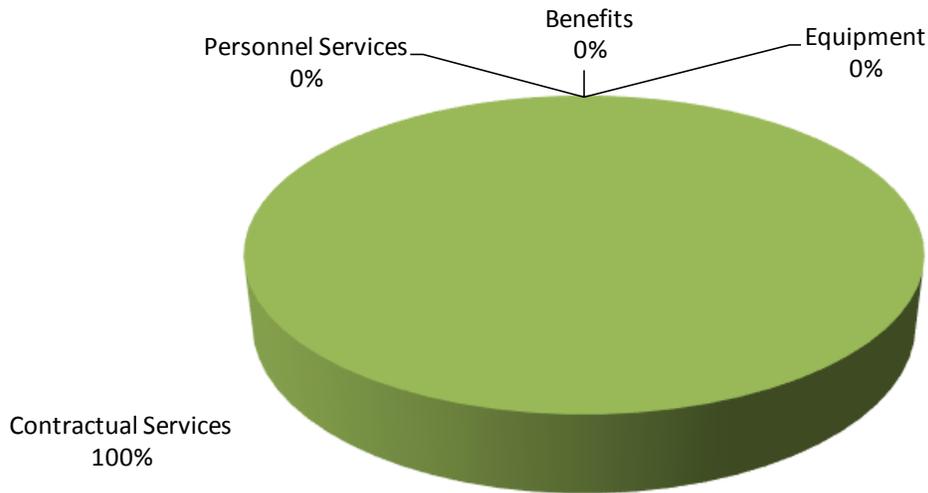
TRANSFERS TO OTHER FUNDS

Legally authorized transfers to a fund through which the resources are to be expended.

WATER FUND

TRANSFERS TO OTHER FUNDS

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	301,460.00	279,070.00	279,070.00	243,740.00	219,833.50	195,954.34	172,103.20
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	301,460.00	279,070.00	279,070.00	243,740.00	219,833.50	195,954.34	172,103.20





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WASTEWATER FUND

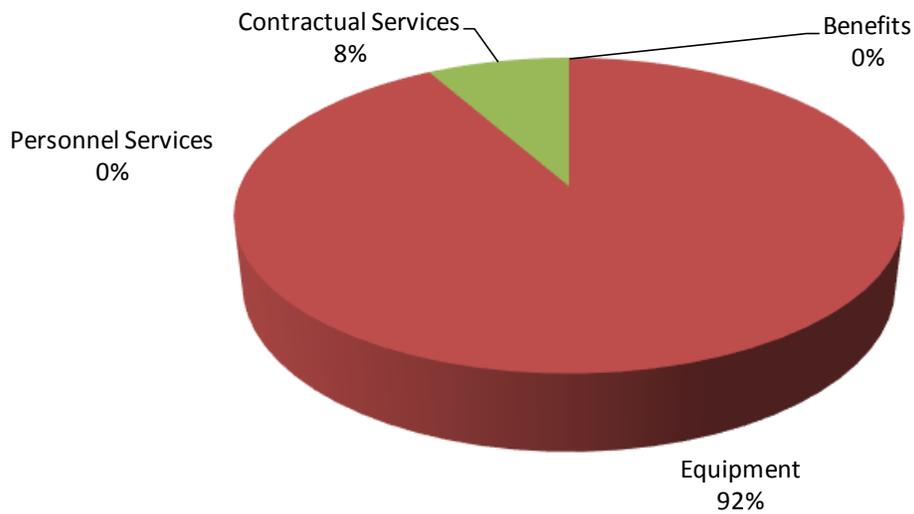
RESERVES

These are budgetary accounts set up for the purpose of funding various reserves established pursuant to General Municipal Law, §6-c and §6-j. They include several Capital (type) reserve funds.

WASTEWATER FUND

RESERVES

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	60,500.00	60,500.00	670,000.00	670,000.00	620,000.00	620,000.00
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	-	60,000.00	60,000.00	60,000.00	60,000.00	50,000.00	45,000.00
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	-	120,500.00	120,500.00	730,000.00	730,000.00	670,000.00	665,000.00



WASTEWATER FUND

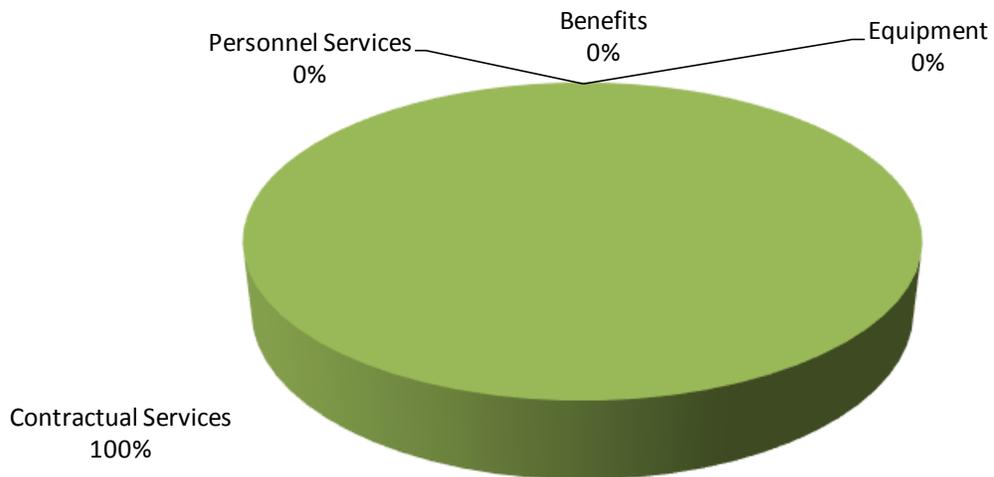
CONTINGENCY

The contingency line is included in the budget to provide funding for unexpected events. Expenditures may not be charged directly to the contingency appropriation. The City Council must first modify the budget by transferring from the contingency appropriation to the expense account needing funding. Using the contingency appropriation does not increase the original budget, it reallocates funding.

WASTEWATER FUND

CONTINGENCY

Description	2014/2015 Actual	2015/2016 Budget	2015/2016 Projected	2016/2017 Proposed	2017/2018	2018/2019 Projected	2019/2020
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	-	28,000.00	28,000.00	15,000.00	25,000.00	25,000.00	25,000.00
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	-	28,000.00	28,000.00	15,000.00	25,000.00	25,000.00	25,000.00



WASTEWATER FUND

DEPRECIATION

Depreciation is the cost of a fixed asset charged as an expense during a particular period, where the cost of the fixed asset is prorated over the estimated service life of the asset and a portion of that cost is charged to each reporting period. The entire cost of the asset is ultimately charged off as an expense.

Description	2014/2015 Actual	2015/2016 Budget	2015/2016 Projected	2016/2017 Proposed	2017/2018 Projected	2018/2019 Projected	2019/2020 Projected
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	1,345,075.30	-	-	-	-	-	-
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	1,345,075.30	-	-	-	-	-	-



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WASTEWATER FUND

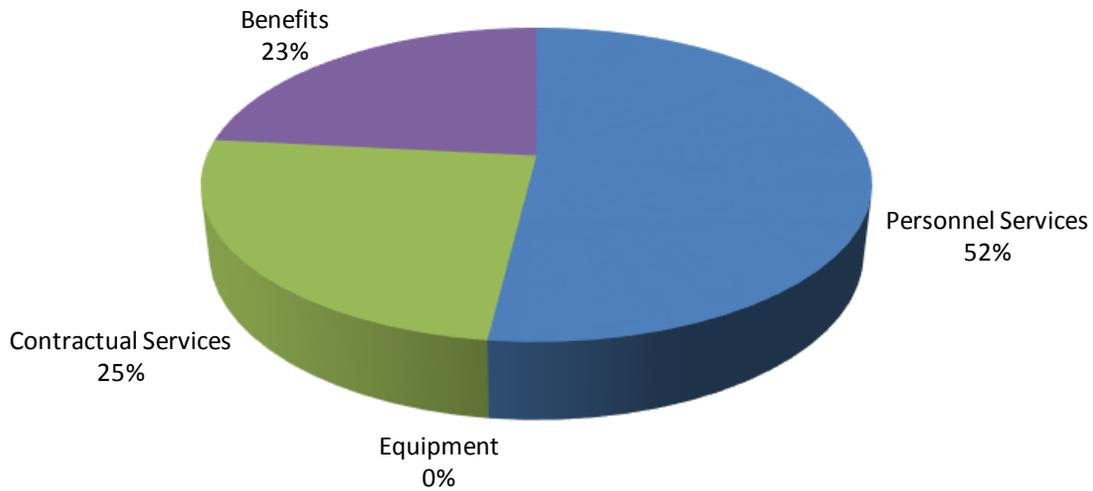
ADMINISTRATION

Wastewater Administration has the responsibility for planning, directing and coordinating Batavia's Wastewater systems. This includes maintenance of sewer lines, inspection and testing, customer relations, personnel management, sewer billing, reporting and record keeping.

WASTEWATER FUND

ADMINISTRATION

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	153,240.24	170,070.00	155,670.00	170,790.00	175,486.73	180,312.61	185,271.21
Overtime	319.45	300.00	300.00	400.00	411.00	422.30	433.92
Equipment	-	16,150.00	16,150.00	-	-	-	-
Professional Fees	1,650.00	-	2,000.00	1,500.00	1,545.00	1,591.35	1,639.09
Travel & Training	450.00	1,750.00	1,750.00	1,750.00	1,802.50	1,856.58	1,912.27
Utilities	1,685.71	2,250.00	2,250.00	2,200.00	2,266.00	2,333.98	2,404.00
Contract Services	47,816.78	18,800.00	22,228.57	28,800.00	29,664.00	30,553.92	31,470.54
Other Expenses	38,335.06	45,025.00	45,025.00	47,320.00	48,739.60	50,201.79	51,707.84
State Retirement	29,787.19	30,530.00	28,093.00	22,750.00	23,205.00	23,669.10	24,142.48
Social Security	11,549.05	13,040.00	13,040.00	13,100.00	13,460.25	13,830.41	14,210.74
Health Insurance	-	51,170.00	-	41,010.00	42,240.30	43,507.51	44,812.73
Total Expense	284,833.48	349,085.00	286,506.57	329,620.00	338,820.38	348,279.54	358,004.82



WASTEWATER FUND

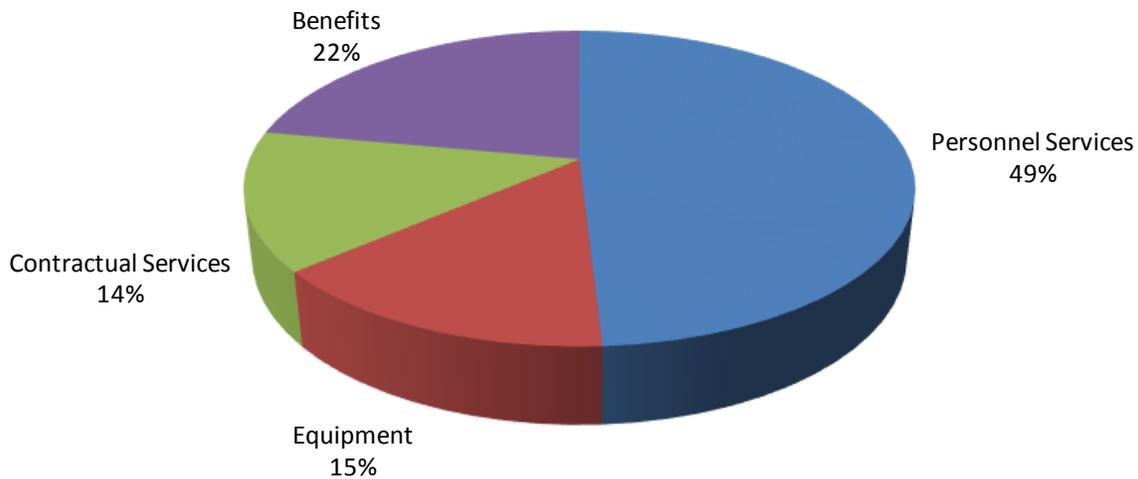
SANITARY SEWERS

The Bureau of Maintenance is responsible for the repair, preventative maintenance and inspection of all sanitary wastewater lines and manholes. The Bureau of Water and Wastewater is responsible for maintenance of pump stations and force mains. The Bureau of Water and Wastewater operates and maintains sanitary sewer pumping stations where gravity sewers collect and pump directly to an adjacent gravity sewer which is not as deep or directly to the treatment facility.

WASTEWATER FUND

SANITARY SEWERS

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	125,468.29	225,230.00	207,514.16	228,190.00	234,465.23	240,913.02	247,538.13
Overtime	5,020.24	5,500.00	5,500.00	5,500.00	5,651.25	5,806.66	5,966.34
Equipment	11,939.97	33,635.00	35,635.00	69,650.00	23,329.50	24,029.39	24,750.27
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	17,073.25	29,500.00	29,500.00	27,400.00	28,222.00	29,068.66	29,940.72
Contract Services	-	-	-	-	-	-	-
Other Expenses	25,221.47	37,980.00	43,192.92	40,170.00	41,375.10	42,616.35	43,894.84
State Retirement	39,054.83	40,150.00	36,945.00	33,950.00	34,629.00	35,321.58	36,028.01
Social Security	9,771.08	17,660.00	17,660.00	17,880.00	18,371.70	18,876.92	19,396.04
Health Insurance	14,392.00	59,880.00	-	53,290.00	54,888.70	56,535.36	58,231.42
Total Expense	247,941.13	449,535.00	375,947.08	476,030.00	440,932.48	453,167.94	465,745.77



WASTEWATER FUND

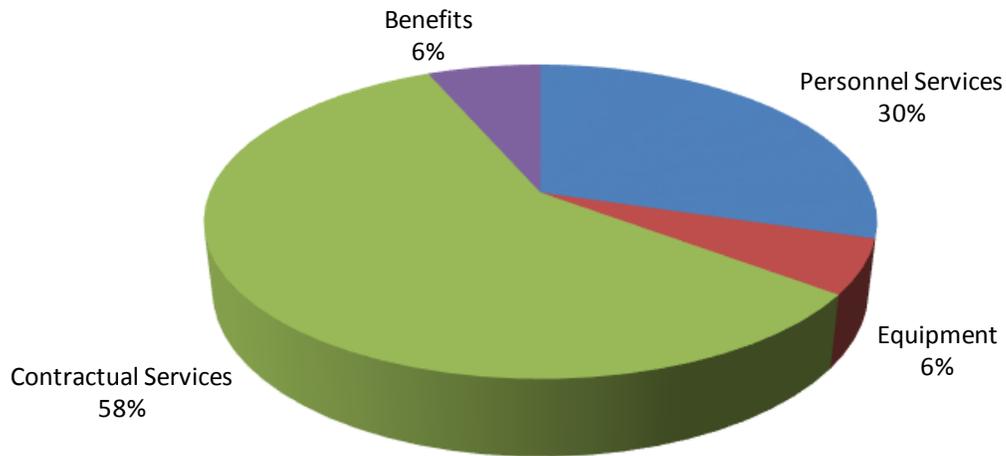
WASTEWATER TREATMENT

Wastewater Treatment funds the operation and maintenance of the Wastewater Treatment Plant in accordance with New York State standards and requirements of the USEPA.

WASTEWATER FUND

WASTEWATER TREATMENT

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	244,242.68	236,180.00	236,180.00	242,180.00	248,839.95	255,683.05	262,714.33
Overtime	4,465.89	7,000.00	7,000.00	5,500.00	5,651.25	5,806.66	5,966.34
Equipment	13,912.16	25,600.00	31,250.00	46,700.00	48,101.00	49,544.03	51,030.35
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	211,786.18	300,500.00	274,500.00	291,250.00	294,487.50	297,767.13	301,089.59
Contract Services	22,208.27	20,450.00	22,236.00	17,050.00	17,561.50	18,088.35	18,631.00
Other Expenses	120,139.07	171,200.00	189,380.00	178,700.00	184,061.00	189,582.83	195,270.31
State Retirement	38,831.07	41,790.00	38,454.00	35,580.00	36,291.60	37,017.43	37,757.78
Social Security	17,887.75	18,610.00	18,610.00	18,880.00	19,399.20	19,932.68	20,480.83
Health Insurance	-	44,590.00	-	-	-	-	-
Total Expense	673,473.07	865,920.00	817,610.00	835,840.00	854,393.00	873,422.15	892,940.53

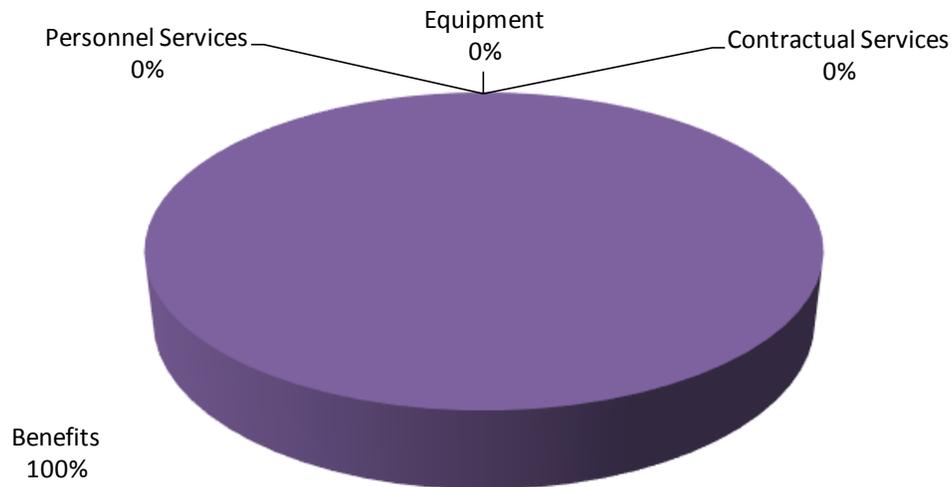


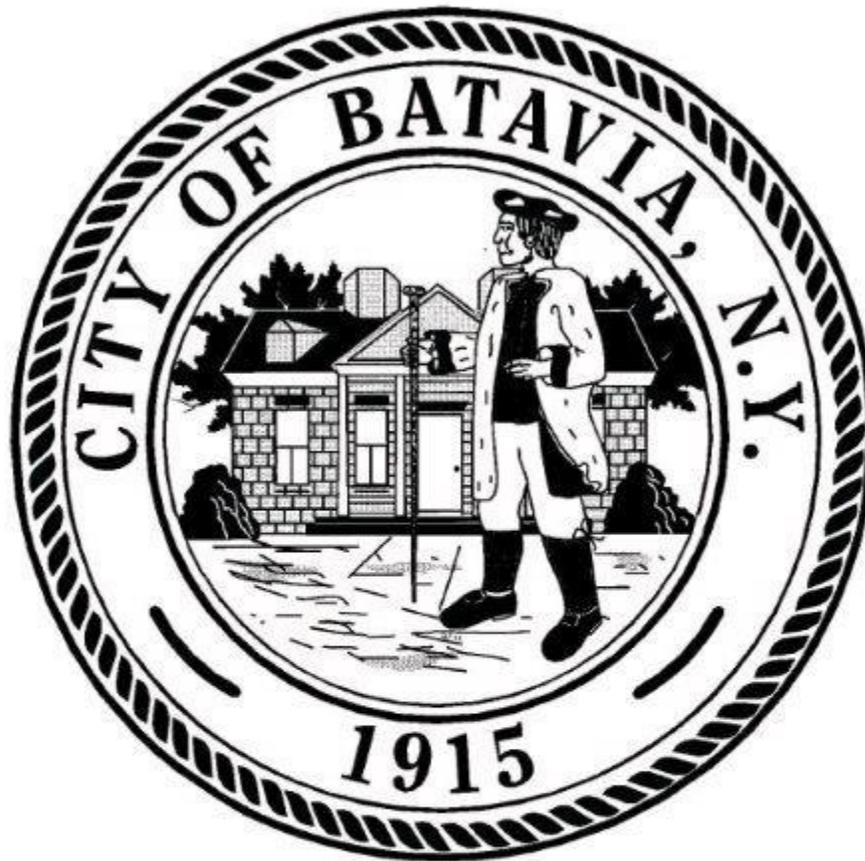
WASTEWATER FUND

MEDICAL INSURANCE

Hospital, medical and dental insurance expenditures paid by the City on behalf of employees.

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed		Projected	
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	-	-	-	-	-	-	-
State Retirement	-	-	-	-	-	-	-
Social Security	400.54	440.00	440.00	1,010.00	1,037.78	1,066.31	1,095.64
Health Insurance	127,552.69	300.00	155,940.00	-	-	-	-
Total Expense	127,953.23	740.00	156,380.00	1,010.00	1,037.78	1,066.31	1,095.64





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WASTEWATER FUND

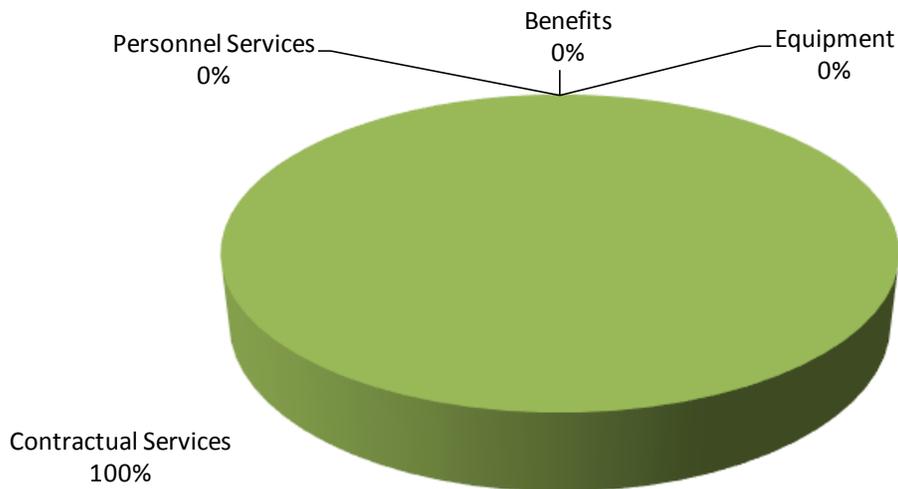
DEBT SERVICE-BONDS

Expenditures for long-term debt principal and interest payments of serial bonds.

WASTEWATER FUND

DEBT SERVICE-BONDS

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	21,088.07	159,500.00	159,500.00	163,059.00	161,500.15	164,166.95	162,394.95
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	21,088.07	159,500.00	159,500.00	163,059.00	161,500.15	164,166.95	162,394.95



WASTEWATER FUND

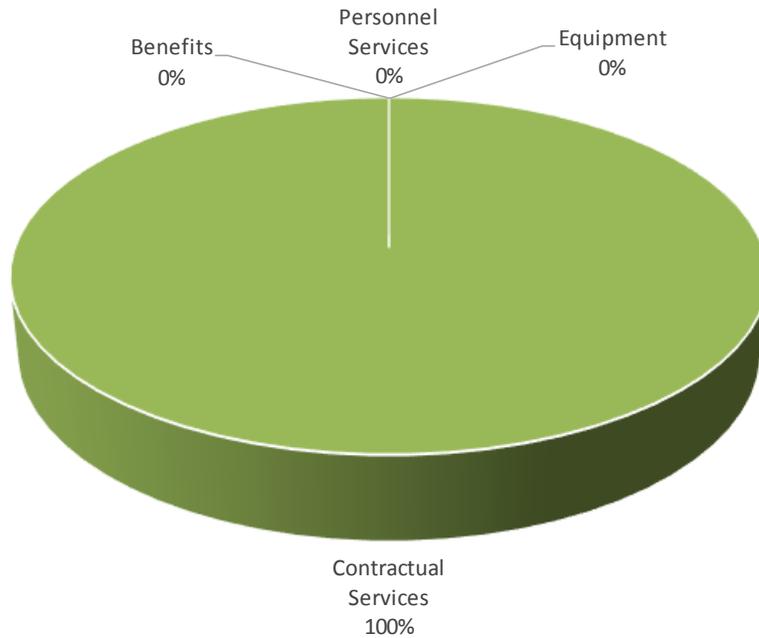
DEBT SERVICE-BAN

Expenditures for long-term debt principal and interest payments of bond anticipation notes.

WASTEWATER FUND

DEBT SERVICE-BAN

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	-	-	-	37,200.00	-	-	-
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	-	-	-	37,200.00	-	-	-



WASTEWATER FUND

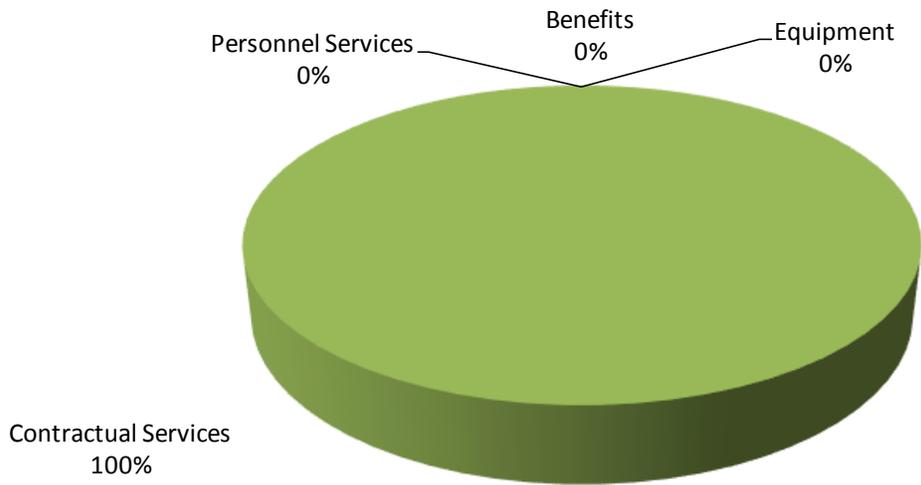
INSTALLMENT PURCHASE DEBT-MUNICIPAL LEASE

Expenditures for long-term debt principal and interest payments of Installment Purchase Debt. Debt under this category was used to purchase a Vac Con truck. The municipal lease is paid in full in fiscal year 2020.

WASTEWATER FUND

INSTALLMENT PURCHASE DEBT-MUNICIPAL LEASE

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	2,632.15	29,028.00	29,028.00	29,028.00	29,027.43	29,027.44	19,225.18
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	2,632.15	29,028.00	29,028.00	29,028.00	29,027.43	29,027.44	19,225.18



WASTEWATER FUND

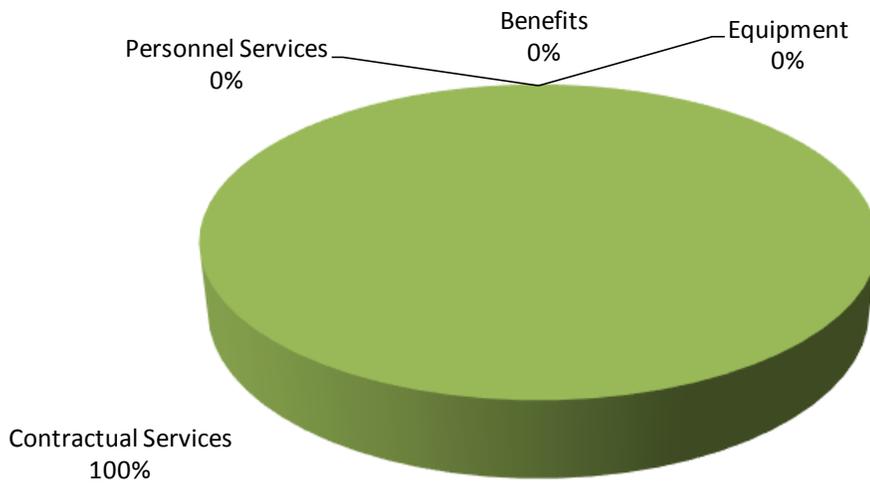
DEBT SERVICE-ENERGY LEASE

Expenditures for long-term debt principal and interest payments of other long-term debt. Debt under this category was used to fund an energy performance construction project for all City facilities. The energy lease is paid in full fiscal year 2022.

WASTEWATER FUND

DEBT SERVICE-ENERGY LEASE

Description	2014/2015 Actual	2015/2016 Budget	2015/2016 Projected	2016/2017 Proposed	2017/2018	2018/2019 Projected	2019/2020
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	1,056.24	7,251.00	7,251.00	7,471.00	7,697.17	7,930.28	8,170.40
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	1,056.24	7,251.00	7,251.00	7,471.00	7,697.17	7,930.28	8,170.40



WASTEWATER FUND

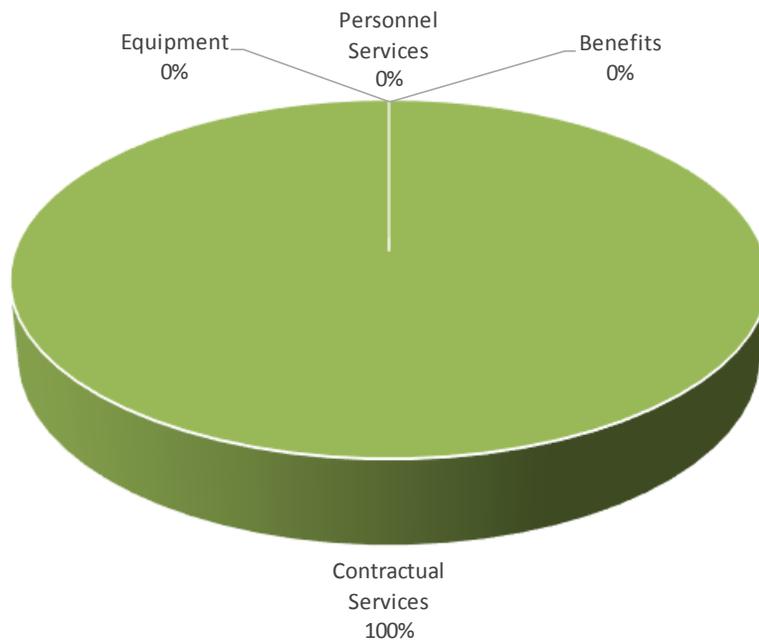
TRANSFERS FOR CAPITAL PROJECTS

Wastewater-Capital Projects includes those projects, purchases, and developments which represent a long-term or permanent improvement. For purposes of definition, capital improvements represent an undertaking that has a specific objective, can be easily distinguishable from other work being performed, has a definite beginning and end, does not occur annually, and has a total cost in excess of \$50,000 for building, and building and site improvements; or \$200,000 for infrastructure.

WASTEWATER FUND

TRANSFERS FOR CAPITAL PROJECTS

Description	2014/2015 Actual	2015/2016 Budget	2015/2016 Projected	2016/2017 Proposed	2017/2018	2018/2019 Projected	2019/2020
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	124,375.50	-	-	562,000.00	-	-	-
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	124,375.50	-	-	562,000.00	-	-	-



WASTEWATER FUND

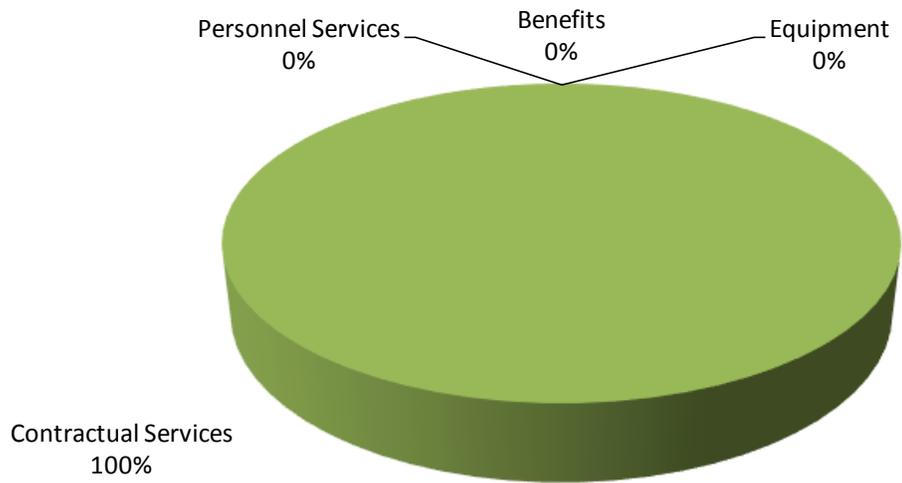
TRANSFERS TO OTHER FUNDS

Legally authorized transfers to a fund through which the resources are to be expanded.

WASTEWATER FUND

TRANSFERS TO OTHER FUNDS

Description	2014/2015	2015/2016	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
	Actual	Budget	Projected	Proposed	Projected		
Salaries	-	-	-	-	-	-	-
Overtime	-	-	-	-	-	-	-
Equipment	-	-	-	-	-	-	-
Professional Fees	-	-	-	-	-	-	-
Travel & Training	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-
Contract Services	-	-	-	-	-	-	-
Other Expenses	37,430.00	574,330.00	574,330.00	31,810.00	32,764.30	33,747.23	34,759.65
State Retirement	-	-	-	-	-	-	-
Social Security	-	-	-	-	-	-	-
Health Insurance	-	-	-	-	-	-	-
Total Expense	37,430.00	574,330.00	574,330.00	31,810.00	32,764.30	33,747.23	34,759.65

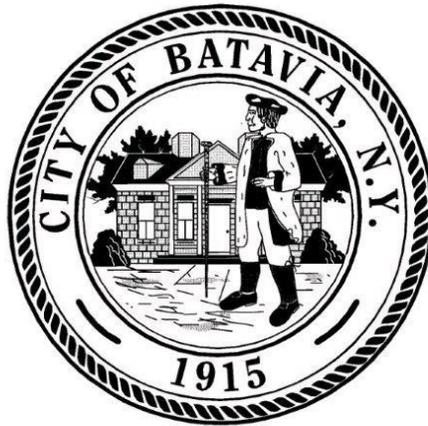




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SECTION 6

MISCELLANEOUS FUNDS



MISCELLANEOUS

CAPITAL FUND

The City's Capital Fund accounts for financial resources used for the acquisition or construction of capital facilities, other than those financed by proprietary funds and equipment purchases financed in whole or in part from the proceeds of obligations.

WORKER'S COMP FUND

The City's Worker's Comp fund is a government fund that houses the expenses the City experiences in providing worker's compensation insurance coverage on their employees. It is funded by contributions from the General, Water and Wastewater Funds.

SMALL CITIES FUND

The Small Cities Fund is a governmental fund used to account for the activity of the City's New York State Small Cities Block Grant and U.S. Department of Housing and Urban Development Programs.

SPECIAL GRANT AND BATAVIA DEVELOPMENT CORPORATION FUND

The Special Grant Fund is a governmental fund that is used to account for Community Development Block Grants and other federal grants not required to be accounted for in other funds. It also houses the business development revolving loan fund which offers financial loans and grants to small business in the City of Batavia when conventional financing is unavailable. The City has an economic development services agreement with the Batavia Development Corporation, a 501(c)4, to administer the City's revolving loan fund and oversee economic development activities within the City.

MALL FUND

The Mall Fund is a government fund that has traditionally been utilized to fund the mall concourse operations. The current relationship and ownership between the City and Mall Merchants Association is dictated by several separate contracts and agreements between the parties. In particular the August 21, 1987 settlement agreement outlines the City's responsibility to prepare and forward to each mall merchant a maintenance bill for each fiscal year. The City then collects unpaid mall maintenance charges in the same manner as provided by law for the collection of unpaid real property taxes. In addition, the City provides accounting services related to the mall maintenance budget.

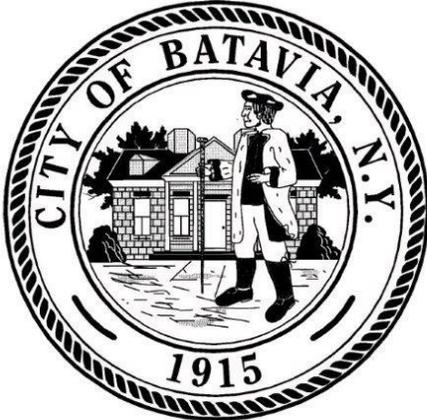
MISCELLANEOUS

As a result, the Mall Fund is accounted for in the City annual audited financial statements under non-major governmental funds.

Under the agreements, the City has no responsibility in relation to budgetary matters, Mall employee matters, operations of the Mall, Mall capital improvements or projects and the City is indemnified by the Mall for negligent action by the Mall. The City Council appoints two representatives to sit on the seven person Mall Operating Committee.

SECTION 7

CAPITAL & DEBT



CAPITAL IMPROVEMENTS

CAPITAL IMPROVEMENT PLANS

Following is the City's Capital Improvement Plans for FY 16/17 and future years projected beyond that. Included in the plan are capital expenditures and capital projects. They are defined as follows:

Capital expenditures are defined in the City's financial statements as asset acquisitions that are added to the capital asset accounts. Capitalization thresholds are as follows:

Asset	Capitalization	Useful life
Buildings	\$50,000	25-50 years
Building & site improvements	\$50,000	10-50 years
Infrastructure	\$200,000	25-50 years
Furniture/ Equipment	\$5,000	3-20 years
Vehicles	\$20,000	3-5 years

It is important for the City to maintain an adequate balance between contributions to capital improvements and non-capital expenditures. Both capital and non-capital expenditures play an important role in the long-range financial health of the City and both must be planned for, implemented, and controlled with equal care to prevent them from precipitating future financial crises.

Although the importance of maintaining a balance between capital and non-capital is an easily understood concept, the application of this concept is more difficult. As has been discussed, the City is

experiencing challenges in revenue while still seeking to maintain its capital base as well as fund increasing operating expenditures. Quite obviously, this situation and environment makes it difficult to maintain an adequate balance between the capital and non-capital expenditures.

Due to the aforementioned situation, it will become increasingly difficult to meet the necessary resources or funding for capital expenditures. However, time and effort has been put into identifying the City's needs with the idea that difficult decisions will have to be made in order to address the City's capital needs. It is true that a plan with no funding is much less effective.

In the near future, it is anticipated that discussions will be taking place at the City Council level regarding funding mechanisms for addressing the City's capital needs.

Nonetheless, even without adequate funding, the needs do not disappear and we must be aware of the City's needs; therefore, the City's capital plan is presented on the following page.

As outlined in the City's Strategic Plan, the City is striving to develop capital improvement plans for all City facilities. Currently the City is evaluating the Police Station and if or what level of improvements maybe be needed for the facility. In addition, new to this plan is the inclusion of capital plans for the Fire Station and Bureau of Maintenance.

Any remaining buildings will have a capital plan developed in future years. It is the City's goal to development and fund capital plans for all City facilities.

Capital Plan Impact on Operations.

Included in each capital plan is the expected cost of improvements, impacts on the general fund and use of reserve funds. Below are definitions used in each capital plan.

Total: This is the total annual cost of the capital expenditure for the respective year.

Budget Contribution: This is the total impact on the operating budget not including use of reserve funds.

Reserve Expenditure: This is the amount of reserve funds that will be needed to complete the respective capital expenditure.

Reserve Balance: This is the estimated reserve balance following capital expenditures.

Following each capital plan is an explanation of sources and uses for each plan and future expectations and impacts on operating budgets. The water and sewer capital plans utilize a combination of long-term debt service and reserve funds for completing each capital plan.

PARKING LOT PLAN

Project	Near	Near	2016-17	2017-18	2018-19	2019-20	2020-21	2021-22	2022-23
Kibbe Park-Lower	Lower Parking		\$17,529						
Kibbe Park-Upper	Upper Parking		\$11,500						
Kibbe Park	Tennis Court		\$6,167						
East Mall	Alva	Bank		\$98,000					
Court Street Plaza	Court	Jackson			\$38,699				
Center Street Plaza	Center	E. Main			\$16,836				
City Centre Front	Main	Jefferson			\$6,167				
Jefferson	PO Short Term	Jefferson			\$4,420				
Alva Lot	Alva	Bank				\$1,056			
Kanale Lot	Ellicott	Central				\$8,373			
Lions Park-Main	Wallace						\$11,556		
Lions Park-Triangle	Edwards	Cedar					\$2,778		
Williams Park	Parking						\$38,657		
Mac Arthur Park	Tennis Courts							\$6,944	
Lambert Park	Hillcrest	Verona						\$1,556	
Southside	Liberty							\$1,124	
Bur. Of Maint	Walnut								\$141,134
Total			\$35,196	\$98,000	\$66,122	\$9,429	\$52,991	\$9,624	\$141,134
Budget Contribution			\$41,461	\$43,948	\$46,585	\$49,381	\$52,343	\$55,484	\$58,813
Reserve Expenditure			\$0	\$54,052	\$19,537	\$0	\$648	\$0	\$82,321
Reserve Balance			\$74,328	\$20,277	\$740	\$40,692	\$40,044	\$85,904	\$3,583

THE PARKING LOT/SPORTS SURFACE MANAGEMENT PLAN IS FUNDED WITH ANNUAL CONTRIBUTIONS FROM THE CITY'S GENERAL FUND. IN FY17 THE BUDGET CONTRIBUTION IS \$41,461. ANNUAL CONTRIBUTIONS INCREASE 6% PER YEAR TO ACCOUNT FOR EXPECTED INCREASES IN MATERIAL COSTS. IN ADDITION, THE RESERVE FUND RECEIVES SMALL ANNUAL CONTRIBUTIONS FROM REVENUE GENERATED FROM DOWNTOWN OVERNIGHT PARKING PERMITS AND DUMPSTER PERMITS. WITHOUT THE ANNUAL GENERAL FUND BUDGET CONTRIBUTION THE OUTLINED CAPITAL WORK WOULD HAVE TO BE FINANCED WITH GENERAL OBLIGATION BONDS OR WOULD NOT BE ABLE TO BE COMPLETED.

DWYER STADIUM CAPITAL PLAN

Project	2016-17	2017-18	2018-19	2019-20
Stadium Lights Re-Lamp	\$5,000	\$4,400	\$4,600	\$4,800
New Sound System			\$11,000	
Replace Seating/field work	\$32,000		\$34,000	
Roof at Main Building South Side		\$115,000		
Score Board		\$25,000		
Roof Replace (Home & Visitor)		\$90,000		\$90,000
Total	\$40,000	\$234,400	\$49,600	\$94,800
Budget Contribution	\$0	\$0	\$0	\$0
Reserve Expenditure	\$40,000	\$0	\$0	\$0
Reserve Balance	\$133,057			

THE DWYER STADIUM CAPITAL PLAN IS FUNDED WITH THE EXISTING BALANCE OF THE RESERVE FUND. AFTER THE FY17 CAPITAL EXPENDITURES THE RESERVE FUND BALANCE IS EXPECTED TO BE APPROXIMATELY **\$133,057**. AS SEEN IN SUBSEQUENT YEARS, IF THE RESERVE FUND IS NOT FUNDED WITH SURPLUS OR ONE-TIME REVENUES, AND THE CITY CONTINUES NOT TO APPROPRIATE AN ANNUAL BUDGET CONTRIBUTION, THE CAPITAL EXPENDITURES OUTLINED IN FUTURE YEARS WOULD HAVE TO BE FINANCED WITH GENERAL OBLIGATION BONDS OR WOULD NOT BE ABLE TO BE COMPLETED.

ICE RINK CAPITAL PLAN

Project	2016-17	2017-18	2018-19	2019-20
Compressor Rebuild		\$6,800	\$6,900	\$7,000
Locker Room Seating				
Replace De-humidifiers	\$70,000			
Renovate Showers	\$12,000			
Total	\$82,000	\$6,800	\$6,900	\$7,000
Budget Contribution	\$20,000	\$20,000	\$20,000	\$20,000
Reserve Expenditure	\$82,000	\$6,800	\$6,900	\$7,000
Reserve Balance	\$152,523	\$165,723	\$178,823	\$191,823

THE ICE RINK CAPITAL PLAN IS FUNDED WITH ANNUAL LEASE PAYMENTS FROM THE OPERATOR OF THE ICE ARENA WHICH ARE PAID TO THE CITY AS OUTLINED IN THE LEASE AGREEMENT. THE CURRENT LEASE AGREEMENT EXPIRES 3/31/2016 AND IS CURRENT BEING RENEGOTIATED; HOWEVER FUTURE LEASE PAYMENTS ARE EXPECTED TO CONTINUE AT A MINIMUM OF THE SAME LEVEL AS THE PRIOR AGREEMENT. ANNUAL LEASE PAYMENTS PROVIDE SUFFICIENT FUNDS FOR FUTURE CAPITAL IMPROVEMENTS. THERE ARE NO ADDITIONAL BUDGET CONTRIBUTIONS THAT FUND THE RESERVE FUND OTHER THAN REVENUE FROM ANNUAL LEASE PAYMENTS.

EQUIPMENT REPLACEMENT PLAN

Equipment Name	Age at Replacement	Department	2016-17	2017-18	2018-19	2019-20	2020-21
Elgin Sweeper-P-Series	20	Public Works	\$200,000				
Jacobson Mower	23	Public Works	\$62,000				
Dodge Ram Van	19	Sewer	\$30,000				
	5	Water/Sewer	\$34,000				
Ford (LS9000) Dump	20	Public Works	\$167,000				
Marked Police Car	3	Police Department	\$34,500				
Marked Police Car	4	Police Department	\$34,500				
ASV-Skid-Ster	13	Public Works		\$62,100			
Marked Police Car	3	Police Department		\$34,500			
Marked Police Car	4	Police Department		\$34,500			
Unmarked Police Car	13	Police Department		\$20,000			
6 Wheel Plow	226	Public Works			\$193,300		
Chevy Pickup	20	Public Works			\$32,100		
Marked Police Car	3	Police Department			\$35,500		
Marked Police Car	4	Police Department			\$35,500		
Unmarked Police Car	13	Police Department			\$20,500		
CAT Loader	24	Public Works				\$239,200	
Int. Harvester Tractor	37	Public Works				\$53,200	
Marked Police Car	4	Police Department				\$36,500	
Marked Police Car	3	Police Department				\$36,500	
CAT Loader	25	Public Works					\$247,600
Marked Police Car	4	Police Department					\$37,500
Marked Police Car	3	Police Department					\$37,500
		Total	\$562,000	\$151,000	\$316,600	\$365,400	\$322,600
		DPW Reserve Budget Contribution	\$15,000	\$15,000	\$15,000	\$15,000	\$15,000
		Sewer Equipment Reserve Contribution	\$30,000	\$30,000	\$30,000	\$30,000	\$30,000
		Water Equipment Reserve Contribution	\$12,500	\$12,500	\$12,500	\$12,500	\$12,500
		Police Equipment Reserve Contribution	\$0	\$0	\$0	\$0	\$0
		DPW Reserve Expenditure	\$438,400	\$62,100	\$225,400	\$292,400	\$247,600
		Sewer Equipment Reserve Expenditure	\$47,000				
		Water Equipment Reserve Expenditure	\$17,000				
		Police Equipment Reserve Expenditure	\$10,000				
		DPW Reserve Balance	\$4,774				
		Sewer Equipment Reserve Balance	\$122,108				
		Water Equipment Reserve Balance	\$137,121				
		Police Equipment Reserve Balance	\$6,010				

THE EQUIPMENT REPLACEMENT PLAN (ERP) IS FUNDED BY SEVERAL SOURCES WHICH INCLUDE ANNUAL BUDGET CONTRIBUTIONS TO RESERVE FUNDS, ANNUAL BUDGET CONTRIBUTIONS IN THE GENERAL FUND AND USE OF CAPITAL RESERVE FUNDS. THE EQUIPMENT RESERVES IN THE GENERAL FUND (DPW AND POLICE) ARE PRIMARILY FUNDED WITH ANNUAL SURPLUSES AND ONE-TIME REVENUES. THE PROPOSED FY17 REQUIRES THAT CITY COUNCIL TRANSFER \$165,000 OF REMAINING VIDEO LOTTERY TERMINAL (VLT) AID FROM THIS YEAR INTO THE DPW RESERVE IN ORDER TO FULLY FUND THE PROPOSED DPW EQUIPMENT REPLACEMENT SCHEDULE. AS ILLUSTRATED ABOVE, ADDITIONAL FUNDING IN ALL GENERAL FUND EQUIPMENT RESERVE FUNDS WILL BE NEEDED TO CONTINUE REPLACING EQUIPMENT PER THE ERP SCHEDULE, OTHERWISE CAPITAL EXPENDITURES OUTLINED IN FUTURE YEARS WOULD HAVE TO BE FINANCED WITH GENERAL OBLIGATION BONDS OR WOULD NOT BE ABLE TO BE COMPLETED.

WATER FUND

Project	*City or County	Funding Method	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25
Backwash Pumping Improvements	County	N/A	\$237,827									
Subtransformer Improvements	County	N/A	\$90,383									
Rapid Mix, Precipitator, and Filter Gallery Improvements	City	Reserves			\$628,537							
Summit Street Watermain Improvements	City	Reserves	\$122,534	\$694,359								
Union Street Watermain Improvements	City	Finance			\$203,520	\$1,153,281						
Vine, Elm, & Chase Watermain Improvements	City	Finance		\$145,305	\$823,397							
South Main & Brooklyn Watermain Improvements	City	Finance					\$136,982	\$776,229				
Jackson Street Watermain Abandonment	City	Finance				\$98,683	\$559,205					
Clinton Street Watermain Abandonment	City	Finance				\$85,415	\$484,020					
Roosevelt Avenue Watermain Improvements	City	Finance										\$1,020,436
WTP Roofing Improvements	City	Finance	\$347,000									
Lime System Improvements	County	N/A			\$658,149							
Ferric Sulfate System Improvements	County	N/A						\$294,185				
Industrial Park Feed Inspection	City	Finance					\$73,614					
WTP HVAC Improvements	City	Finance						\$148,301				
Well House Electrical System Improvements	County	N/A						\$104,778				

Project	*City or County	Funding Method	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25
Filter Media Improvements	County	N/A							\$412,131			
Filter Valve Replacements (Stage 1)	County	N/A							\$88,428			
High Service Pump Improvements	County	N/A							\$313,618			
VA Water Storage Tank Improvements	County	N/A									\$3,707,643	
Finished Water Reservoir Improvements	City	Finance							\$599,564			
Production Well No. 3	County	N/A								\$597,662		
Total Estimated Cost			\$708,243	\$839,664	\$2,313,603	\$1,337,379	\$1,253,820	\$1,323,493	\$1,413,740	\$597,662	\$3,707,643	\$1,020,436
<p>*Improvements related to the water treatment process are paid for by Genesee County in accordance with the current water supply agreement</p> <p>** The estimated project cost reflect 2014 dollars and was inflated by 3% annually based on the anticipate schedule</p> <p> Indicates that design will be completed the previous year.</p>												

THE SUMMIT STREET WATER MAIN REPLACEMENT WILL BE COMPLETED ALONG WITH THE SUMMIT STREET RECONSTRUCTION PROJECT. THE WATER LINE REPLACEMENT WILL BE FUNDED USING THE CAPITAL IMPROVEMENT RESERVE FUND AND THE SUMMIT STREET RECONSTRUCTION PROJECT IS FUNDED BY FEDERAL AND STATE PASS THROUGH FUNDS. THE VINE, ELM & CHASE WATER MAIN IMPROVEMENTS WILL BE DESIGNED IN FY17, WITH CONSTRUCTION TO TAKE PLACE IN FY18 AND WILL BE FINANCED WITH GENERAL OBLIGATION BONDS. ALL EXISTING DEBT AND NEW DEBT FROM THE WATER FUND CAPITAL IMPROVEMENTS WILL NOT IMPACT THE OPERATIONS BUDGET, AND WILL BE FUNDED BY A COMBINATION OF REVENUE GENERATED FROM A CAPITAL IMPROVEMENT FEE, CAPITAL RESERVES AND GENERAL OBLIGATION BONDS. ANNUAL INCREASES IN THE WATER RATE AND METER FEE OF 3.5% ARE DUE TO A 1-3% ANNUAL DECREASE IN WATER CONSUMPTION.

SEWER FUND

Project	*City or County	Funding Method	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25
Sanitary Lift Station Electrical Improvements	City	Facility Reserve		\$206,876								
Grit Pump & Blower Improvements	Shared	Facility Reserve	\$80,546									
State Street Sanitary Sewer Siphon Elimination	City	Facility Reserve	\$48,807	\$276,571								
Elm Street Sanitary Sewer Replacement	City	Finance		\$125,653	\$712,032							
Washington Avenue Sanitary Sewer Replacement (Bank to Ross)	City	Finance	\$106,605	\$604,092								
Central Pump Station Fire Suppression System Improvements	Shared	Facility Reserve		\$77,912								
Washington Avenue Sanitary Sewer Replacement (Jefferson to Bank)	City	Finance	\$102,197	\$579,114								
Franklin Street Sanitary Sewer Replacement	City	Finance				\$1,048,637						
Grit Cyclone Classifier Improvements	Shared	Facility Reserves			\$119,121							
WWTP Roofing System Improvements	Shared	Finance						\$855,091				
Mechanical Fine Screen Improvements	Shared	Finance			\$188,364							

Project	*City or County	Funding Method	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25
Central Pumping Station Electrical System Improvements	Shared	Facility					\$106,421					
Aluminum Sulfate Storage Tank Improvements	Shared	Facility Reserve					\$114,009					
WWTP Air System Blower, Motor and VFD Improvements	Shared	Finance							\$1,046,229			
Maple Street & Mill Street Sanitary Sewer Realignment	City	Facility Reserve					\$409,803					
Aerated Pond No. 2 Sludge Removal	Shared	Finance								\$1,257,111		
Central Pumping Station & Aerated Grit Structural Improvements	Shared	Facility Reserve					\$211,365					
Sewer Lining	City	Facility Reserve			\$191,227			\$208,959			\$228,335	
Secondary Pond No. 1 Sludge Removal	Shared	Finance	\$2,320,338									
Infiltration & inflow Study-Bank St. (Washington to North), Bank St. (Denio to Tate N of Douglas), Redfield Pkwy/Bogue Ave. , Vine t. (Farwell to Bank	City	Finance	TBD									
Total Estimated Cost			\$2,658,491	\$1,981,931	\$1,210,745	\$1,048,637	\$841,598	\$1,064,050	\$1,046,229	\$1,257,111	\$228,335	\$0
<p>*The Town has purchased treatment capacity under an agreement with the City and is responsible for 15% of the costs associated with improvements at the Central Pump station and Wastewater Treatment Plant</p> <p>** The estimated total City cost is based on 2014 dollars and is inflated 3% annually based on the anticipated schedule</p> <p> Indicates that design will be completed the previous year</p>												

THE SANITARY LIFT STATION ELECTRICAL IMPROVEMENTS, STATE STREET SIPHON PROJECT AND CENTRAL PUMP STATION FIRE SUPPRESSION PROJECT WILL BE COMPLETED USING FUNDS FROM THE CITY'S SEWER FACILITY RESERVE FUND. TWO WASHINGTON AVE. SANITARY SEWER PROJECTS WILL BE CONSTRUCTED IN FY17 AND FUNDED WITH GENERAL OBLIGATION BONDS, ALONG WITH THE DESIGN OF ELM STREET SANITARY SEWER REPLACEMENT. IN ADDITION, THE CONTINUATION OF POND #1 SLUDGE REMOVAL PROJECT WILL BE COMPLETED IN FY 17. THE SEWER FUND HAS CASH AVAILABILITY AS THE WASTEWATER PLANT DEBT SERVICE EXPIRED IN 2010. AS A RESULT HE FUND HAS CONSIDERABLE LONG-TERM DEBT CAPACITY AND THE ABILITY TO SUPPORT SIGNIFICANT CONTRIBUTIONS TO RESERVE FUNDS FOR FUTURE CAPITAL PROJECTS WITHOUT IMPACTING THE SEWER RATE. IN ADDITION, INCREASING SEWER FLOWS FROM THE TOWN OF BATAVIA HAVE SUPPORTED A LEVEL SEWER RATE.



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DEBT SERVICE

CONSTITUTIONAL DEBT LIMIT

In New York State, Constitutional debt limits exist that impose constraints on the amount of debt that a local government can incur. The debt limit for the City of Batavia is a percentage (7%) of the five-year average full valuation of taxable property within a municipality. Debt issued for the purpose of water supply and distribution and certain types of short term borrowings are excluded from the debt limit. In addition, a municipality can apply for exclusions from the limit for debt related to sewer projects and for certain types of self-liquidating debt. For the fiscal year ending March 31, 2015, the City's constitutional debt limit was \$37,515,244. The City's principal debt from 2016 through 2036 General Fund currently totals \$4,649,709.26.

TYPES OF CITY DEBT

EFC- San Sewer - Issued 7/29/1999 in the amount of \$7,925,000. Impacts Sewer Fund. Used to fund sanitary sewer upgrades. Refunded in 2010. Payment in full expected 4/15/2019.

Municipal Lease - Entered into 11/2012 in the amount of \$283,716. Impacts General, Water and Sewer Fund. Used to purchase a Vac Con vacuum truck. Payment in full expected 4/1/2019.

Court Facility – Issued in 1996 in the amount of \$8,210,000 of which the City's share is 15%, as a result of an inter municipal agreement between Genesee County and the City of Batavia, approved by council via resolution dated June 12, 1996. Impacts General Fund. Used for the Court Facility. Refunded in 2010. Payment in full expected 10/15/16.

Landfill, etc. – Issued in 2005 in the amount of \$1,795,000. Impacts General Fund. Used for closing the Batavia landfill site, vehicles and recreation equipment, Dwyer Stadium Lighting improvements, and Batavia City Centre. Payment in full expected 11/1/2020.

City Centre – Issued 11/2005 in the amount of \$3,600,000 Series A and \$875,000 Series B. Impacts General, Water and Sewer Funds. Used for the construction of City Hall. Refunded in 2014. Payment in full expected 11/1/2035.

BAN (Bond Anticipation Note) – Issued 5/16/13 in the amount of \$3,700,000. Impacts General, Sewer and Capital Funds. Used to repair a portion of the Tracy Avenue Sewer main and to reconstruct Cedar Street. Re-issued on 5/15/14 in the amount of \$1,700,000 to continue the reconstruction of Cedar Street. Payment in full expected 5/14/2015.

Dwyer/BID – Issued in 2001 in the amount of \$2,859,000. Impacts General Fund. Used for Dwyer Stadium and for the Business Improvement District. Refunded in 2011. Payment in full expected 8/1/2020.

Energy Lease – Entered into 11/24/2006 in the amount of \$1,235,225. Impacts General, Water and Sewer Funds. Used for energy conservation facility improvement measures. Payment in full expected 11/24/2022.

DEBT PAYMENT SCHEDULE

Due Date		Total Payments	General		Water		Sewer	
			Principal	Interest	Principal	Interest	Principal	Interest
<u>FY2016-17</u>								
4/1/16	EFC-SAN.SEWER	134,062.05					130,000.00	4,062.05
4/1/16	MUNICIPAL LEASE-VACCON	20,157.93	3,405.60	222.83	1,892.00	123.79	13,622.41	891.30
4/15/16	COURT FACILITY	37,242.45	36,750.00	492.45				
5/1/16	LANDFILL, etc	13,750.00		13,750.00				
5/1/16	CITY CENTRE - REFUNDED	51,812.51		41,450.01		5,181.25		5,181.25
5/12/16	BAN				330,000.00	3,300.00	3,720,000.00	37,200.00
6/1/16	MUNICIPAL LEASE - TANDEM AXLE	14,292.94	10,188.58	4,104.36				
8/1/16	DWYER / BID	175,010.43	139,836.80	9,522.55				
8/15/16	COURT FACILITY	58,785.02	57,750.00	1,035.02				
10/1/16	EFC-SAN.SEWER	3,196.90						3,196.90
10/1/16	MUNICIPAL LEASE-VACCON	20,157.93	3,436.58	191.85	1,909.21	106.58	13,746.31	767.40
11/1/16	LANDFILL, etc	123,750.00	110,000.00	13,750.00				
11/1/16	CITY CENTRE - REFUNDED	201,812.51	120,000.00	41,450.01	15,000.00	5,181.25	15,000.00	5,181.25
11/24/16	ENERGY LEASE	100,957.00	67,101.22	8,374.26	16,012.37	1,998.34	6,641.90	828.91
12/1/16	MUNICIPAL LEASE - TANDEM AXLE	14,292.64	12,366.00	1,926.64				
2/1/17	DWYER	7,425.00		7,425.00				
3/31/17	DEBT PREMIUM AMORTIZATION	874.00				437.00		437.00
		977,579.31	560,834.78	143,694.98	364,813.58	16,328.21	3,899,010.62	57,746.06
<u>FY 2017-18</u>								
4/1/17	EFC-SAN.SEWER	133,196.90					130,000.00	3,196.90
4/1/17	MUNICIPAL LEASE-VACCON	20,157.93	3,467.83	160.60	1,926.57	89.22	13,871.33	642.38
5/1/17	LANDFILL, etc	11,000.00		11,000.00				
5/1/17	CITY CENTRE - REFUNDED	50,312.51		40,250.01		5,031.25		5,031.25
6/1/17	MUNICIPAL LEASE - TANDEM AXLE	14,293.14	12,505.00	1,788.14				
8/1/17	DWYER	132,425.00	125,000.00	7,425.00				
10/1/17	EFC-SAN.SEWER	2,240.75						2,240.75
10/1/17	MUNICIPAL LEASE-VACCON	20,157.94	3,499.37	129.05	1,944.10	71.70	13,997.50	516.22
11/1/17	LANDFILL, etc	121,000.00	110,000.00	11,000.00				
11/1/17	CITY CENTRE - REFUNDED	210,312.51	128,000.00	40,250.01	16,000.00	5,031.25	16,000.00	5,031.25
11/24/17	ENERGY LEASE	104,016.00	70,629.49	7,132.89	16,854.33	1,702.12	6,991.14	706.03
12/1/17	MUNICIPAL LEASE - TANDEM AXLE	14,293.08	12,645.00	1,648.08				
2/1/18	DWYER	5,550.00		5,550.00				
3/31/18	DEBT PREMIUM AMORTIZATION	874.00				437.00		437.00
		839,829.76	465,746.69	126,333.78	36,725.00	12,362.54	180,859.97	17,801.78
<u>FY 2018-19</u>								
4/1/18	EFC-SAN.SEWER	137,240.75					135,000.00	2,240.75
4/1/18	MUNICIPAL LEASE-VACCON	20,157.95	3,531.20	97.23	1,961.78	54.02	14,124.80	388.92
5/1/18	LANDFILL, etc	8,250.00		8,250.00				
5/1/18	CITY CENTRE - REFUNDED	48,712.51		38,970.01		4,871.25		4,871.25
6/1/18	MUNICIPAL LEASE - TANDEM AXLE	14,292.46	12,786.00	1,506.46				
8/1/18	DWYER	130,550.00	125,000.00	5,550.00				
10/1/18	EFC-SAN.SEWER	1,183.70						1,183.70
10/1/18	MUNICIPAL LEASE-VACCON	20,157.94	3,563.32	65.11	1,979.62	36.17	14,253.27	260.45
11/1/18	LANDFILL, etc	118,250.00	110,000.00	8,250.00				
11/1/18	CITY CENTRE - REFUNDED	208,712.51	128,000.00	38,970.01	16,000.00	4,871.25	16,000.00	4,871.25
11/24/18	ENERGY LEASE	107,166.00	74,291.08	5,826.24	17,728.09	1,390.31	7,353.58	576.70
12/1/18	MUNICIPAL LEASE - TANDEM AXLE	14,293.25	12,930.00	1,363.25				
2/1/19	DWYER	3,675.00		3,675.00				
3/31/19	DEBT PREMIUM AMORTIZATION	874.00				437.00		437.00
		833,516.07	470,101.60	112,523.31	37,669.49	11,660.00	186,731.65	14,830.02
<u>FY 2019-20</u>								
4/1/19	EFC-SAN.SEWER	141,183.70					140,000.00	1,183.70
4/1/19	MUNICIPAL LEASE-VACCON	20,158.25	3,595.73	32.76	1,997.63	18.20	14,382.90	131.03
5/1/19	LANDFILL, etc	5,500.00		5,500.00				
5/1/19	CITY CENTRE - REFUNDED	47,112.51		37,690.01		4,711.25		4,711.25
6/1/19	MUNICIPAL LEASE - TANDEM AXLE	14,293.44	13,075.00	1,218.44				
8/1/19	DWYER	123,675.00	120,000.00	3,675.00				
11/1/19	LANDFILL, etc	115,500.00	110,000.00	5,500.00				
11/1/19	CITY CENTRE - REFUNDED	212,112.51	132,000.00	37,690.01	16,500.00	4,711.25	16,500.00	4,711.25
11/24/19	ENERGY LEASE	110,411.00	78,091.43	4,451.86	18,634.97	1,062.34	7,729.75	440.65
12/1/19	MUNICIPAL LEASE - TANDEM AXLE	14,293.01	13,221.00	1,072.01				
2/1/20	DWYER	1,875.00		1,875.00				
3/31/20	DEBT PREMIUM AMORTIZATION	874.00				437.00		437.00
		806,988.42	469,983.16	98,705.09	37,132.60	10,940.04	178,612.65	11,614.88
<u>FY 2020-21</u>								
5/1/20	LANDFILL, etc	2,750.00		2,750.00				
5/1/20	CITY CENTRE - REFUNDED	45,462.51		36,370.01		4,546.25		4,546.25
6/1/20	MUNICIPAL LEASE - TANDEM AXLE	14,192.93	13,369.00	823.93				
8/1/20	DWYER	121,875.00	120,000.00	1,875.00				
11/1/20	LANDFILL, etc	112,750.00	110,000.00	2,750.00				
11/1/20	CITY CENTRE - REFUNDED	205,462.51	128,000.00	36,370.01	16,000.00	4,546.25	16,000.00	4,546.25
11/24/20	ENERGY LEASE	113,753.00	82,034.60	3,007.17	19,575.93	717.59	8,120.06	297.65
12/1/20	MUNICIPAL LEASE - TANDEM AXLE	14,293.20	13,519.00	774.20				
3/31/21	DEBT PREMIUM AMORTIZATION	874.00				437.00		437.00
		628,663.15	466,922.60	81,970.32	35,575.93	10,247.09	24,120.06	9,827.15

<u>FY 2021-22</u>								
5/1/21	CITY CENTRE - REFUNDED	43,662.51		34,930.01		4,366.25		4,366.25
6/1/21	MUNICIPAL LEASE - TANDEM AXLE	14,292.79	13,670.00	622.79				
11/1/21	CITY CENTRE - REFUNDED	218,662.51	140,000.00	34,930.01	17,500.00	4,366.25	17,500.00	4,366.25
11/24/22	ENERGY LEASE	109,689.58	80,514.43	1,489.52	19,213.17	355.44	7,969.59	147.43
12/1/21	MUNICIPAL LEASE - TANDEM AXLE	14,292.68	13,823.00	469.68				
3/31/22	DEBT PREMIUM AMORTIZATION	874.00				437.00		437.00
		401,474.07	248,007.43	72,442.01	36,713.17	9,524.94	25,469.59	9,316.93
<u>FY 2022-23</u>								
5/1/22	CITY CENTRE - REFUNDED	41,475.01		33,180.01		4,147.50		4,147.50
6/1/22	MUNICIPAL LEASE - TANDEM AXLE	14,292.86	13,978.00	314.86				
11/1/22	CITY CENTRE - REFUNDED	221,475.01	144,000.00	33,180.01	18,000.00	4,147.50	18,000.00	4,147.50
12/1/22	MUNICIPAL LEASE - TANDEM AXLE	14,293.32	14,135.00	158.32				
3/31/23	DEBT PREMIUM AMORTIZATION	874.00				437.00		437.00
		292,410.20	172,113.00	66,833.20	18,000.00	8,732.00	18,000.00	8,732.00
<u>FY 2023-24</u>								
5/1/23	CITY CENTRE - REFUNDED	39,000.01		31,200.01		3,900.00		3,900.00
11/1/23	CITY CENTRE - REFUNDED	219,000.01	144,000.00	31,200.01	18,000.00	3,900.00	18,000.00	3,900.00
3/31/24	DEBT PREMIUM AMORTIZATION	874.00				437.00		437.00
		258,874.02	144,000.00	62,400.02	18,000.00	8,237.00	18,000.00	8,237.00
<u>FY 2024-25</u>								
5/1/24	CITY CENTRE - REFUNDED	36,300.01		29,040.01		3,630.00		3,630.00
11/1/24	CITY CENTRE - REFUNDED	221,300.01	148,000.00	29,040.01	18,500.00	3,630.00	18,500.00	3,630.00
3/31/25	DEBT PREMIUM AMORTIZATION	874.00				437.00		437.00
		258,474.02	148,000.00	58,080.02	18,500.00	7,697.00	18,500.00	7,697.00
<u>FY 2025-26</u>								
5/1/25	CITY CENTRE - REFUNDED	33,525.01		26,820.01		3,352.50		3,352.50
11/1/25	CITY CENTRE - REFUNDED	218,525.01	148,000.00	26,820.01	18,500.00	3,352.50	18,500.00	3,352.50
3/31/26	DEBT PREMIUM AMORTIZATION	874.00				437.00		437.00
		252,924.02	148,000.00	53,640.02	18,500.00	7,142.00	18,500.00	7,142.00
<u>FY 2026-27</u>								
5/1/26	CITY CENTRE - REFUNDED	30,634.38		24,507.50		3,063.44		3,063.44
11/1/26	CITY CENTRE - REFUNDED	230,634.38	160,000.00	24,507.50	20,000.00	3,063.44	20,000.00	3,063.44
3/31/27	DEBT PREMIUM AMORTIZATION	874.00				437.00		437.00
		262,142.76	160,000.00	49,015.00	20,000.00	6,563.88	20,000.00	6,563.88
<u>FY 2027-28</u>								
5/1/27	CITY CENTRE - REFUNDED	27,384.38		21,907.50		2,738.44		2,738.44
11/1/27	CITY CENTRE - REFUNDED	232,384.38	164,000.00	21,907.50	20,500.00	2,738.44	20,500.00	2,738.44
3/31/28	DEBT PREMIUM AMORTIZATION	874.00				437.00		437.00
		260,642.76	164,000.00	43,815.00	20,500.00	5,913.88	20,500.00	5,913.88
<u>FY 2028-29</u>								
5/1/28	CITY CENTRE - REFUNDED	23,925.00		19,140.00		2,392.50		2,392.50
11/1/28	CITY CENTRE - REFUNDED	233,925.00	168,000.00	19,140.00	21,000.00	2,392.50	21,000.00	2,392.50
3/31/29	DEBT PREMIUM AMORTIZATION	874.00				437.00		437.00
		258,724.00	168,000.00	38,280.00	21,000.00	5,222.00	21,000.00	5,222.00

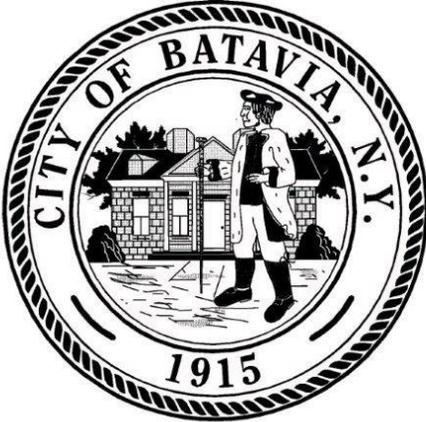
<u>FY 2029-30</u>								
5/1/29	CITY CENTRE - REFUNDED	20,250.00		16,200.00		2,025.00		2,025.00
11/1/29	CITY CENTRE - REFUNDED	240,250.00	176,000.00	16,200.00	22,000.00	2,025.00	22,000.00	2,025.00
3/31/30	DEBT PREMIUM AMORTIZATION	874.00				437.00		437.00
		261,374.00	176,000.00	32,400.00	22,000.00	4,487.00	22,000.00	4,487.00
<u>FY 2030-31</u>								
5/1/30	CITY CENTRE - REFUNDED	16,125.00		12,900.00		1,612.50		1,612.50
11/1/30	CITY CENTRE - REFUNDED	246,125.00	184,000.00	12,900.00	23,000.00	1,612.50	23,000.00	1,612.50
3/31/31	DEBT PREMIUM AMORTIZATION	874.00				437.00		437.00
		263,124.00	184,000.00	25,800.00	23,000.00	3,662.00	23,000.00	3,662.00
<u>FY 2031-32</u>								
5/1/31	CITY CENTRE - REFUNDED	11,812.50		9,450.00		1,181.25		1,181.25
11/1/31	CITY CENTRE - REFUNDED	256,812.50	196,000.00	9,450.00	24,500.00	1,181.25	24,500.00	1,181.25
3/31/32	DEBT PREMIUM AMORTIZATION	874.00				437.00		437.00
		269,499.00	196,000.00	18,900.00	24,500.00	2,362.50	24,500.00	2,362.50
<u>FY 2032-33</u>								
5/1/32	CITY CENTRE - REFUNDED	7,218.76		5,775.00		721.88		721.88
11/1/32	CITY CENTRE - REFUNDED	257,218.76	200,000.00	5,775.00	25,000.00	721.88	25,000.00	721.88
3/31/33	DEBT PREMIUM AMORTIZATION	558.00				279.00		279.00
		264,437.52	200,000.00	11,550.00	25,000.00	1,443.76	25,000.00	1,443.76
<u>FY 2033-34</u>								
5/1/33	CITY CENTRE - REFUNDED	2,531.26		2,025.00		253.13		253.13
11/1/33	CITY CENTRE - REFUNDED	47,531.26	36,000.00	2,025.00	4,500.00	253.13	4,500.00	253.13
3/31/34	DEBT PREMIUM AMORTIZATION	116.00				58.00		58.00
		50,178.52	36,000.00	4,050.00	4,500.00	564.26	4,500.00	564.26
<u>FY 2034-35</u>								
5/1/34	CITY CENTRE - REFUNDED	1,687.50		1,350.00		168.75		168.75
11/1/34	CITY CENTRE - REFUNDED	46,687.50	36,000.00	1,350.00	4,500.00	168.75	4,500.00	168.75
3/31/35	DEBT PREMIUM AMORTIZATION	116.00				58.00		58.00
		48,491.00	36,000.00	2,700.00	4,500.00	395.50	4,500.00	395.50
<u>FY 2035-36</u>								
5/1/35	CITY CENTRE - REFUNDED	843.76		675.00		84.38		84.38
11/1/35	CITY CENTRE - REFUNDED	45,843.76	36,000.00	675.00	4,500.00	84.38	4,500.00	84.38
3/31/36	DEBT PREMIUM AMORTIZATION	68.00				34.00		34.00
		46,755.52	36,000.00	1,350.00	4,500.00	202.76	4,500.00	202.76
2016-2036	Totals	7,536,102.13	4,649,709.26	1,104,482.75	791,129.77	133,688.36	4,737,304.54	183,762.36



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SECTION 8

GLOSSARY



ACRONYMS AND DEFINITIONS

AED	Automated External Defibrillator
AFSCME	American Federation of State, County and Municipal Employees
AIM	Aid and Incentive to Municipalities
APWA	American Public Works Association
BAN	Bond Anticipation Note
BDC	Batavia Development Corp
BID	Business Improvement District
BOA	Brownfield Opportunity Area
CD	Certificate of Deposit
CDBG	Community Development Block Grant
CFA	Consolidated Funding Application
CHIPS	Consolidated Local Street and Highway Improvement Program
CIP	Capital Improvement Plan
CO	Carbon Monoxide
CPR	Cardiopulmonary Resuscitation
CPSE	Center for Public Safety Excellence
CRS	Community Rating System
CSEA	Civil Service Employees Association
DbA	Doing Business As
DOS	Disk Operating System
DOT	Department of Transportation
DPW	Department of Public Works
EPA	Environmental Protection Agency
ERS	Employees' Retirement System
FASB	Financial Accounting Standards Board
FEMA	Federal Emergency Management Agency
Fiduciary Fund	A fund used to account for assets held by the City in trustee or custodial capacity
FILEBOUND	Workflow automatic solution company and software system

ACRONYMS AND DEFINITIONS (CONT'D)

FOIL	Freedom of Information Law
FTE	Full Time Equivalent
FY	Fiscal year
GAAP	Generally Accepted Accounting Principals
GASB	General Accounting Standards Board
GFOA	Government Financial Officers Association
GML	General Municipal Law
GO ART!	Genesee-Orleans Regional Arts Council
Governmental Fund	Funds that include most governmental functions.
HHI	Household Income
HPC	Historic Preservation Commission
HUD	U.S. Department of Housing and Urban Development
IAFF	International Association of Firefighters, Local 896
ICMA	International City/County Management Association
ICS	Incident Command System
IDA	Industrial Development Agency
In-rem	A legal term describing the power a court may exercise over property
KIO	Key Intended Outcomes
KVS	(Knowledge, Value and Service) Specialized municipal financial software system
Micropolitan	An urban area with a population between 10,000 and 50,000; a small city
NCS	National Citizens Survey
NET	Neighborhood Enforcement Teams
NIMS	National Incident Management System
NVI	Neighborhood Vitality Index
NYCOM	New York State Conference of Mayors & Municipal Officials
NYS	New York State
NYSDCJS	New York State Division of Criminal Justice Services

ACRONYMS AND DEFINITIONS (CONT'D)

NYSDEC	New York State Department of Environmental Conservation
NYSDOH	New York State Department of Health
NYSRSSL	New York State Retirement and Social Security Law
OPEB	Other Post Employee Benefit
OSC	Office of the State Comptroller
PBA	Police Benevolent Association
PCI	Pavement Condition Index
PD	Police Department
PDC	Planning and Development Committee
PFRS	Police and Fire Retirement System
PILOT	Payment in Lieu of Taxes
Pro Tempore	The person who acts as a place holder in the absence of the President of the Council
Proprietary Fund	A Fund used to account for services for which the City charges customers. This fund uses accrual accounting, which is the same method used by the private sector.
RFP	Request for Proposal
RFQ	Request for Qualifications
STAMP	Science and Technology Advanced Manufacturing Park
SWOT	Strengths, Weaknesses, Opportunities and Threats
Tax Certiorari	The legal process by which the courts review a real property assessment. Generically speaking, it encompasses the entire assessment review process from filing a grievance complaint with the local Board of Assessment review through judicial review of the assessment.
UMMC	United Memorial Medical Center
USEPA	United States Environmental Protection Agency
USTA	United States Tennis Association
VLT	Video Lottery Terminal
ZBA	Zoning Board of Appeals

SECTION 9

APPENDIX



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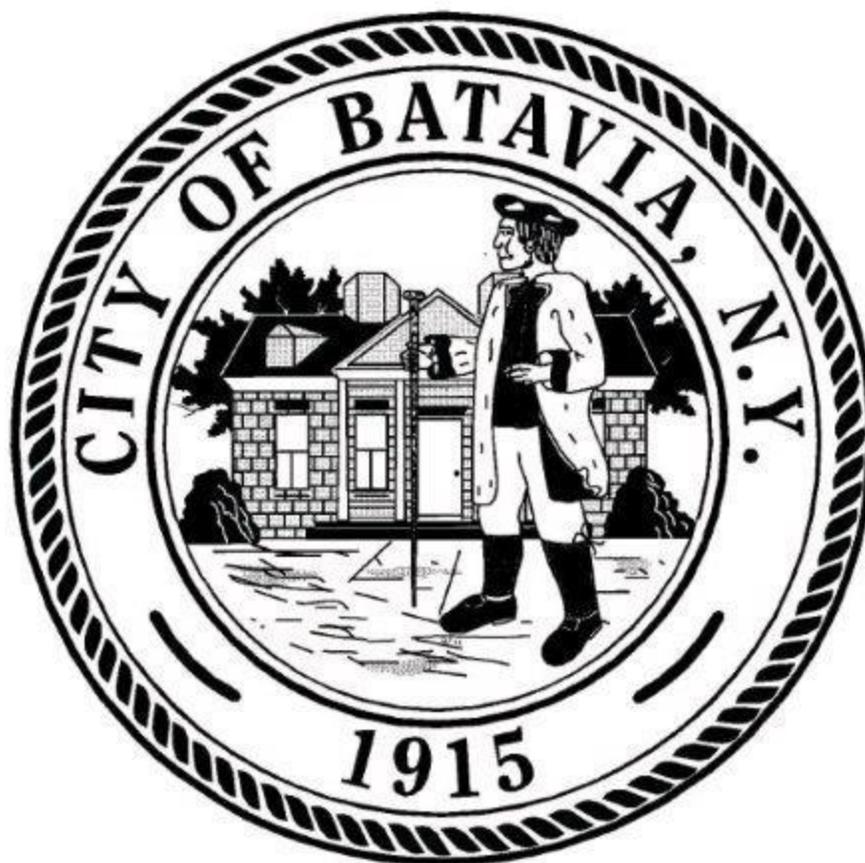
CONSTITUTIONAL TAX LIMIT

The city's constitutional taxing authority is limited to 2 percent of the average full property valuation for the proceeding five years.

2016/2017 Constitutional Tax Limit

\$ 545,082,173	Five Year Average Full Valuation
<u> x 2%</u>	
\$ 10,901,643	
<u> 637,565</u>	Plus Allowed Exclusions
\$ 11,539,208	Maximum Taxing Authority
<u> 5,126,339</u>	Proposed Tax Levy for FY 2016-2017
\$ 6,412,869	Available Constitutional Tax Authority

41.18% **Percentage of Tax Limit Exhausted**



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FULL TIME EQUIVALENT EMPLOYEES BY DEPARTMENT

	BUDGETED FY 2014/2015	BUDGETED FY 2015/2016	BUDGETED FY 2016/2017	PROJECTED FY 2017/2018
<u>CITY MANAGER'S OFFICE</u>				
City Manager	1	1	1	1
Assistant City Manager	1	1	1	1
Confidential Secretary	1	1	1	1
Total City Manager's Office	3	3	3	3
<u>DEPARTMENT OF ADMINISTRATIVE SERVICES</u>				
Bureau of Personnel				
Human Resource Specialist	1	1	1	1
Human Resource Clerk	1	1	1	1
Bureau of Finance				
Deputy Director of Finance	1	1	1	1
Financial Clerk	1	1	1	1
Bureau of Clerk/Treasurer				
Clerk Treasurer	1	1	1	1
Deputy Clerk Treasurer	1	1	1	1
Clerk Typist	0.5	0.5	0.5	0.5
Bureau of Assessment				
Assessment Clerk	1	1	1	1
Total Department of Administrative Services	7.5	7.5	7.5	7.5
<u>POLICE DEPARTMENT</u>				
Clerk Typist	2	2	2	2
Crossing Guards	1	1	1	1
Police Dispatcher	0.5	0.5	0.5	0.5
Parking/Recycling Enforcement Officer	1	1	1	1
Police Officer	20	20	20	20
Police Detective	4	4	4	4
Police Youth Detective	1	1	1	1
Police Detective Sergeant	1	1	1	1
Police Sergeant	4	4	4	4
Assistant Police Chief	1	1	1	1
Police Chief	1	1	1	1
Total Police Department	36.5	36.5	36.5	36.5
<u>FIRE DEPARTMENT</u>				
Senior Typist	1	1	1	1
Firefighter	25	26	27	28
Fire Lieutenant	4	4	4	4
Fire Captain	4	4	4	4
Fire Chief	1	1	1	1
Total Fire Department	35	36	37	38

FULL TIME EQUIVALENT EMPLOYEES BY DEPARTMENT

	BUDGETED FY 2014/2015	BUDGETED FY 2015/2016	BUDGETED FY 2016/2017	PROJECTED FY 2017/2018
<u>PUBLIC WORKS DEPARTMENT</u>				
Custodial Worker	0.75	0.75	0.75	0.75
City Engineer/Director of Public Works	1	1	1	1
Engineering/Inspection				
Parking/Recycling Enforcement Officer	0	0	0	0
Clerk Typist	1	1	1	1
Code Enforcement Officer	2	2	2	2
Administrative Assistant	1	1	1	1
Bureau of Maintenance				
Secretary*	1	1	1	1
Recycling Attendant	0.5	0.5	0.5	0.5
Laborer	2	2	2	2
Heavy Equipment Operator	15	15	15	15
Automotive Mechanic	3	3	3	3
Automotive Mechanic Supervisor	1	1	1	1
Public Works Supervisor	2	2	2	2
Superintendent of Maintenance	1	1	1	1
Bureau of Water and Wastewater				
Building Maintenance Worker	1	1	1	1
Water & Wastewater Mnt. Worker	4	4	4	4
Senior Water & Wastewater Mnt. Worker	1	1	1	1
Water Treatment Plant Operator	6	6	6	6
Waste Water Treatment Plant Operator	3	3	3	3
City Electrician	1	1	1	1
Water & Wastewater Mnt. Supervisor	1	1	1	1
Chief Water Plant Operator	1	1	1	1
Chief Wastewater Plant Operator	1	1	1	1
Superintendent of Water and Wastewater	1	1	1	1
Youth Bureau				
Youth Bureau Coordinator	1	1	1	1
Youth Bureau Program Assistant	1	1	1	1
Recreation Leader - 2 PT (16.5- 19.5 hrs ea per wk)	1	1	1	1
Total Department of Public Works	54.25	54.25	54.25	54.25
TOTAL CITY EMPLOYEES (FULL TIME EQUIVALENT)	136.25	137.25	138.25	139.25

* Title reclassification in fiscal year 2015/2016

NOTE: Full time equivalent's listed are budgeted positions. Throughout the fiscal year vacancies occur as a result of the retirements, terminations, and/or resignations. Actual personnel expenditures noted in this document account for those vacancies.

City of Batavia Purchasing Manual



Adopted: February 10, 2014
Updated: April 13, 2015

City of Batavia Purchasing Manual

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Appendix A – Threshold Grid

Appendix B – Individuals Responsible for Purchasing

Appendix C – Approval Chart

Appendix D – Standardization Resolution

Appendix E - Procurement Policy and Procedure Adoption Resolution

Appendix F – Disposition of Surplus Property Resolution

Appendix G – Scrap Metal Resolution

Appendix H – Forms

a. Purchase Order Requisition Form

b. Voucher Form

c. Disposal Form

d. Travel Authorization Form

e. New York State Exemption Certificate for hotel room occupancy ST-129

f. Cooperative Contract Due Diligence Form

Note: All forms are available on the City’s computer system. They are located on the shared drive (S:/Finance Forms)

Appendix I –Sample resolutions

a. Surplus Resolution

I. Introduction

The purchasing procedure employed by the City of Batavia shall comply with all applicable laws and regulations and City of Batavia Charter.

Pursuant to General Municipal Law, Section 104-b, goods and services which are not required by law to be procured through competitive bidding must be procured in a manner which assures the prudent and economical use of public monies in the best interest of the taxpayers. It further requires that to facilitate the objectives of economical use of tax monies, the acquisition of goods and services of the best possible quality at the lowest possible cost, and to guard against favoritism, improvidence, fraud and corruption, internal policies and procedures governing procurement of all goods and services not required by law to be procured through competitive bidding must be adopted by all municipalities. It also requires that, effective January 1, 2009, such policies and procedures identify the individual or individuals responsible for purchasing and their respective titles.

No official or employee of the City of Batavia shall be interested financially in any contract entered into by the municipality (as defined in General Municipal Law, Sections 800 thru 808). This also precludes acceptance of gratuities, financial or otherwise, by the above persons, from any supplies of materials or services to the municipality.

Comments have been solicited from officers and employees of the City of Batavia involved in the procurement process prior to the enactment of this policy and procedures, and will be solicited from time to time hereafter.

City Council shall annually review and, when needed, update this policy and procedures manual. The City Manager shall be responsible for conducting an annual evaluation of the effectiveness of the procurement policy and procedures and an evaluation of the control procedures established to ensure compliance with the procurement policy, and shall be responsible for reporting back to City Council.

Unintentional failure to comply fully with the provisions of General Municipal Law, Section 104-b shall not be grounds to void action taken or give rise to a cause of action against the City of Batavia or any officer or employee thereof.

All purchases made outside of the purchasing procedure will be considered unauthorized purchases and are not the financial responsibility of the City of Batavia.

Forms within this manual are not to be altered or changed in any way.

II. Code of Ethics

In addition to the Code of Ethics found in Chapter 14 of the Code of the City of Batavia, the City of Batavia has adopted the following Code of Ethics as it applies to purchasing.

The City of Batavia believes the following ethical principles should govern the conduct of every person employed by the City of Batavia:

1. To consider first the interests of the municipality and the betterment of its government.
2. To endeavor to obtain the greatest value for every dollar expended.
3. To be receptive to advice and suggestions from City Manager, Department Heads and Bureau Chiefs, insofar as such advice and suggestions are not in conflict with legal or ethical restrictions in purchasing procedures.
4. To strive for knowledge of municipal equipment and supplies in order to recommend items that may either reduce cost or increase municipal efficiency.
5. To insist on and expect honesty in sales representation and the assurance of unbiased judgment in determining whether their product meets specifications.
6. To not directly or indirectly solicit any gift, or accept or receive any gift, which in any way might influence the purchase of municipal equipment and supplies or be in conflict with the City's Code of Ethics.
7. To accord a prompt and courteous reception, insofar as conditions permit, to all who call on legitimate business missions.
8. To counsel and assist others with purchasing responsibilities in the performance of their duties whenever occasion permits.
9. To cooperate with governmental and trade associations in the promotion and development of sound business methods in the purchasing of municipal equipment and supplies.
10. To seek or dispense no personal favors.
11. To handle each administrative problem objectively and empathetically on the basis of principal and justice without discrimination.

III. General Purchasing Procedure

The acquisition of services, equipment and supplies in the City of Batavia is decentralized whereby each individual responsible for purchasing (as listed in Appendix B) is responsible for complying with this policy and the procedures set forth therein. The City will not be liable for any purchases made not in compliance with this policy and the person responsible for said purchase may be held personally accountable for the purchase. Those responsible individuals listed in Appendix B shall procure the necessary items of material, equipment, supplies and services as needed, at the best possible prices and maintain adequate records as verification of such.

The first step in procurement is to determine the type of service or good needed. A “purchase contract” is for the purchase of goods. A “public works contract” applies to those items or projects involving primarily labor or both material and labor where labor is the major portion of the purchase. A professional service is a service that requires special skill, expertise and/or creativity.

The next step in the procurement process is to determine the dollar threshold of the item being purchased. This will dictate the appropriate method of procurement as shown in Appendix A. That dollar threshold is the aggregate amount planned to be spent on the same or similar commodities or services, and technology within 12 months. “Like” commodities are those items of a similar nature, which are generally handled by one vendor (ie. cleaning supplies, office supplies) and should be grouped together for the purpose of determining whether you will exceed the \$20,000 limit. A series of transactions, each under the threshold, is subject to competitive bidding if it can be reasonably anticipated that the aggregate amount will exceed the threshold. If the actual cost of any purchases or projects are uncertain but suspected to exceed the limit, discretion will be used and the bidding procedure will take effect. Thresholds may not be avoided by artificially splitting contracts or purchases.

After the necessary due diligence in finding an appropriate vendor, a purchase shall be initiated via requisition within the City’s financial software if the purchase is \$1,000 or more. Any documentation supporting the required due diligence shall be scanned and attached to the requisition. See the “Requisition Forms and Input” section of this policy for instructions to complete this process.

All requisitions shall be reviewed by the Bureau of Finance to ensure compliance with this purchasing policy and procedure. Requisitions shall not be submitted for processing until it is assured that all required information is attached and made available. After Finance approval that all steps in the procurement process have been followed appropriately, the requisition shall become a purchase order which will be forwarded to the City Manager or Department Head (see Appendix A) for final approval. Approvals will be sought in accordance with the City’s Purchasing Approval Chart found in Appendix C. Only after the City Manager or Department Head has approved the Purchase Order can an order be placed or a contract for service signed.

At fiscal year end, no requisition will be approved unless the goods are to be ordered, or the contract for services to be provided is signed, prior to the end of the fiscal year. Requisitions may not be created on March 31st for the sole purpose of carrying an encumbrance forward into the next fiscal year.

IV. Requisition Forms and Input

A requisition is required to initiate a purchase order. Requisitions are initiated by any employee completing a Purchase Order Requisition Form. This form is found in the “Appendix H – Forms” section of this manual or on the City’s shared drive (S:/Finance Forms).

Each Department Head/Bureau Chief signs off on the Purchase Order Requisition Form indicating they have verified compliance with the Purchasing Policy requirements as specified in this manual. Their signature/sign off on the Purchase Order Requisition Form indicates said compliance.

Purchase Order Requisition Forms and required documentation, after Department Head approval, are forwarded to the department’s clerk for input into the City’s financial software system. The clerk is responsible for verifying that all information is received and input as set forth in this Purchasing Policy.

The following is key information for inputting a requisition into the City’s financial software system:

1. When choosing a vendor, make sure the address is correct.
2. Always enter a description whenever possible.
3. If for any reason you are not adding quotes to the quote tab, a reason **MUST** be documented in the “Contract #” field.
4. Narratives, sole source verifications, justifications, explanations and all written/fax quotes must be scanned and attached to the “Attachments” tab.
5. All quotes are added to the “Quote” tab. If the amount threshold requires written/fax quotes, those must also be scanned and attached on the “Attachments” tab.

Each employee shall be responsible for compliance by him/herself and his/her subordinates with the requirements as specified in this Purchasing Policy and Procedure Manual.

V. Invoice Input

Invoice input is decentralized in that invoices will be input into the City's financial software by each department's clerk. The procedure for inputting an invoice is as follows:

- Invoices will be separated by invoice type; invoices associated with purchase orders and invoices not associated with purchase orders.
- Invoices are placed in alphabetic order by vendor and a calculator tape will be run, or a spreadsheet used, to add up the batch of invoices to be input.
- In KVS, invoices associated with purchase orders are input in "Purchase Orders" found on the "Action" tab of the purchasing module.
- In KVS, invoices not associated with purchase orders are input in "Vouchers" found on the "Action" tab of the purchasing module.
- The pay due date will always be the next accounts payable check processing date. This date will be maintained by the Finance department and will be updated at the completion of each accounts payable check run, at which time, new invoices will be able to be input.
- Invoices are to be scanned and attached to each voucher into KVS.
- A Voucher Detail Report will be run and the total on that report will need to agree with the total of the calculator tape mentioned above.
- Balanced batches of invoices are to be forwarded to the Bureau of Finance by noon on Wednesday, the week of accounts payable processing.
- At the beginning of each calendar year, the Bureau of Finance will furnish each department with an accounts payable pay date schedule.

VI. Competitive Bidding

Pursuant to General Municipal Law, Article 5A, Section 103, all purchases for materials, equipment or supplies of the same category that involve an aggregate annual estimated total expenditure over \$20,000 (combining all City departments) shall be awarded only after public advertising soliciting formal bids. All competitive bids for purchase contract awards require City of Batavia Council approval.

Also pursuant to General Municipal Law, Article 5A, Section 103, all public work contracts (those projects that involve labor or both material and labor) involving an expenditure of over \$35,000 shall be awarded only after public advertising soliciting formal bids. All competitive bids for public works contracts need City of Batavia Council approval in order to be bid and awarded.

Alternatives to competitive bidding, where City Council approval is not required for procurements not to exceed budgeted amounts:

1. New York State Office of General Services awards centralized contracts based on competitive bidding for commodities, services, information technology and telecommunications. The City of Batavia is eligible to purchase through state contracts as a political subdivision of New York State. Since New York State General Municipal Law does not require competitive bidding if purchases are made under State Contract, spending levels (aggregate) do not apply if the purchase is made under New York State Contract. Purchases made from vendors offering "lower than state contract" prices do not qualify under this exception. State contracts are accessible on-line at <http://www.ogs.state.ny.us>. As noted elsewhere in this policy, the purchase order requisition should contain the State contract number in the "contract #" field of the requisition in KVS.
2. The City of Batavia may piggyback on municipal County and New York State contracts that have been extended to local governments. The contract must explicitly authorize piggybacking and must be let in accordance with competitive bidding laws. The purchase contract being utilized is to be scanned and attached to the purchase order requisition in KVS. And the use of these contracts need to be noted in the "contract #" field of the requisition in KVS.
3. The City is also eligible to purchase from Federal GSA Schedule 70 Technology contracts, as well as equipment for counter-drug, homeland security and emergency response activities. This contract is accessible on-line at <http://www.gsa.gov/portal/content/104506>. The use of these contracts need to be noted in the "contract #" field of the requisition in KVS.
4. The City of Batavia is permitted to purchase surplus and second-hand supplies, materials or equipment from Federal or State government or other political subdivisions or public

benefit corporations within the State. However, purchases or used items from any other source (e.g. private sources like auctions or going-out-of-business sales) are not exempt from bidding requirements.

Each bid submitted to the City of Batavia must contain a statement asserting prices in the bid were arrived at independently, without collusion; prices quoted were not knowingly disclosed by the bidder prior to bid opening; and the bidder did not induce any other person to not submit a bid.

General Municipal Law, Section 101 states that contracts for the erection, construction or alteration of buildings exceeding \$500,000 (for Genesee County), must separately and independently bid (1) Plumbing and gas fitting, (2) Steam heating, hot water heating, ventilating and air-conditioning apparatus, and (3) Electric wiring and standard illuminating fixtures. Referred to as the Wicks Law, when this law does not apply, bidders must submit with its bid a separate sealed list that names each subcontractor that the bidder will use to perform the work. After the low bid is announced, the sealed list is opened and the names of subcontractors are announced. The sealed lists of unsuccessful bidders are to be returned.

Every bid must contain a statement that the bidder is not on a list of entities that invest in the Iranian Energy Sector. A bid cannot be considered or contract awarded without that statement. The exception to this is if a bidder's investment activities were made prior to this law (April 12, 2012) or if the municipality determines in writing that the purchase of goods or services are necessary and are unable to be purchased from any other entity.

Advertising for each contract or bid shall be in the designated official newspaper of the City of Batavia. The advertisement should contain the time and place where all of the bids received will be opened. It should state if bids can be received electronically. It should name the City of Batavia and describe the project. It is required there be 5 days between the date of the advertisement and the opening of the bids. If the date of opening changes, re-advertising is required. Failure to comply with the advertising requirements will result in an illegal contract.

All formal bid contracts (those which require public advertising and competitive bidding according to General Municipal Law, Article 5A, Section 103) shall be awarded as provided by law and by Resolution of the City Council.

It shall be the policy of the City of Batavia that a low tie bid be rejected and re-bid to eliminate any question of vendor favoritism by making a choice of an award other than low price.

In KVS, the competitive bid should be referenced in the "contract #" field (name of bid or another form of reference) when the requisition is entered and the award letter and resolution should be scanned attached to the requisition.

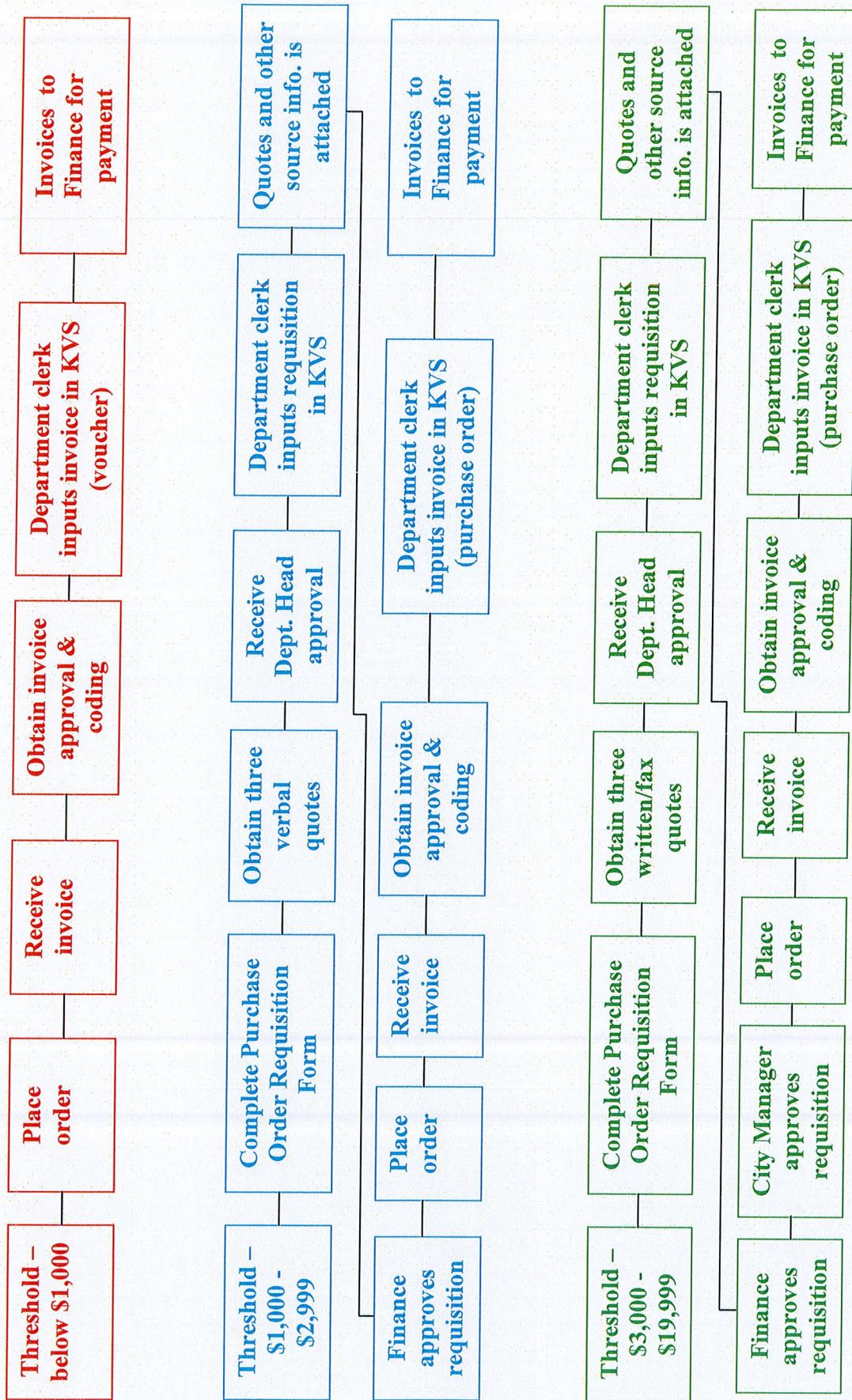
A blanket purchase order should be issued for the purpose of consolidation of bulk or numerous purchases over the year to eliminate the necessity for issuance of separate orders for groups of items which are purchased frequently by the same vendor and to permit the department to

purchase items of this nature on an “as needed” basis. Blanket purchase orders generally should be closed out at the end of a fiscal year and a new one issued for the new fiscal year.

The following include but are not limited to situations that are exempt from competitive bidding requirements:

- Public emergencies
- Sole source providers of goods or services
- Municipal cooperation agreements
- Purchases of surplus/second hand supplies materials or equipment from the Federal Government, State of New York, or any other political subdivision or district
- Real property purchases or leases
- New York State preferred source purchases
- State contract purchases
- Genesee County or other municipal contracts properly extended to municipalities
- Professional service contracts
- Special skill contracts

VII. Purchasing Flow Chart
Purchase Contracts



VIII. Prevailing Wage Rates

The New York State Department of Labor requires the payment of prevailing wages for any public work that is not performed by City of Batavia staff. Refer to New York State Labor Law Article 8 (construction such as electricians, carpenters, highway workers) and Article 9 (building service contracts such as janitorial services, landscapers and window washers). See website at <http://www.labor.ny.gov/workerprotection/publicwork/PWContents.shtm>.

The dollar threshold for payment of the wages under Article 8 is ZERO. ANY work, regardless of how small, is subject to this requirement. The dollar threshold for payment of wages under Article 9 is \$1,500. Any project or public work where the payment of wages meets these thresholds is subject to this prevailing wage requirement.

- The Department of Labor requires the City of Batavia to request a PRC # and prevailing wage schedule listing the hourly rates of wages and supplements due the workers to be employed on a public work project for any project or service contract involving labor. This schedule may be obtained by completing and forwarding a “Request for Wage and Supplement Information Form” (PW-39) from the Department of Labor or via an online request.
- The City of Batavia must attach the wage schedule to the bid specifications prior to bidding.
- Upon awarding a contract, the City of Batavia must attach the wage schedule to the contract. When signing the contract, the vendor should also sign a receipt for the wage schedule. That receipt should be kept with the bid documentation.
- Before the work begins, the vendor (contractor and subcontractors) must post wage schedules at the construction site so that workers know what they are entitled to.
- The City of Batavia is required to furnish the following information to the NYS Department of Labor Bureau of Public Works, upon the awarding of the contract:
 - The name and address of the contractor
 - The date the contract was let
 - The approximate dollar value of the contract
- Certified payrolls must be collected from the contractor prior to payment to the vendor. These certified payrolls must be kept on file with the City.
- If a vendor has any questions regarding the job category or classification they are instructed to contact the Department of Labor.
- The City of Batavia is required to notify the NYS Department of Labor Bureau of Public Works of the completion or cancellation of any public work project. The Department’s Notice of Completion/Cancellation of Project Form (PW-200) is provided for that purpose.
- All forms are available for completion online.
See <http://www.labor.ny.gov/workerprotection/publicwork/PWContents.shtm>

IX. Emergency Purchases

The City may forego compliance with competitive bidding requirements when a situation arises that requires an emergency procurement. The term “Emergency Purchases” is defined in Section 103(4), Article 5A of the General Municipal Law as follows:

“...in the case of a public emergency arising out of an accident or other unforeseen occurrence or condition whereby circumstances affecting public buildings, public property or the life, health, safety or property of the inhabitants of a political subdivision or district therein require immediate action which cannot await competitive bidding, or competitive offering, contracts for public work or the purchase of supplies, material or equipment may be let by the appropriate officer, board or agency of a political subdivision or district therein.”

Unless the situation threatens lives, health or public property, the purchases of services or products or public works are subject to the standard provision of this Purchasing Policy. In general, it must be an accident or an unanticipated occurrence that requires immediate attention, or threatens the health, safety or welfare of the City’s property or residents. If the time it takes you to award a contract for an emergency takes as much time as it would to do a competitive bid, it is not an emergency. Improper planning for purchases or capital projects cannot be classified as an emergency purchase.

In the case of a good faith emergency, City of Batavia employees should still work to obtain goods or services at the lowest cost available.

In the event of an emergency, the Department Head responsible for that operation will assume charge for the operation. The following procedure will then be used:

1. The Department Head will provide to the City Manager the reason for the emergency and a complete description of what will need to be purchased and its cost.
2. The City Manager will provide the Department Head written approval of the emergency purchase.
3. With the City Manager’s approval, the purchase can be made.
4. A requisition will need to be completed in the City’s financial software system and the City Manager’s written approval and the documentation provided to the City Manager describing the emergency (see #1 above) will be scanned and attached to the requisition.
5. The word “emergency” will be inserted in the “contract #” field on the requisition in KVS.
6. The purchase order resulting from the requisition will be forwarded to the department to await receipt of the invoice.

X. Sole Source & Single Source Purchases

In situations where there is only one possible source from which to procure goods and services required in the public interest such as in the case of certain patented goods or services, competitive bidding or required quoting is not required.

A **sole source** can be a manufacturer, software developer or service provider that sells direct and there are no other sources offering an “or equal.” To qualify under the sole source exception, the Department must demonstrate that the acquisition of the good or service sought is in the public interest. To do so, the Department must document the following: 1. The unique benefits arising from the particular good or service as compared to a different good or service; 2. That no other good or service provides substantially similar benefits; and 3. When considering the benefit conferred upon the City of Batavia from the good or service, the cost of such is reasonable. In addition, the department must demonstrate that the good or service is available from only one source for which there is no equivalent. To do this, a letter on the vendor’s official letterhead must be received from the vendor. All of the above documentation must be scanned, attached and labeled on the “Attachments” tab of requisition.

A **single source** could be a distributor/wholesaler/retailer that has a contractual agreement for a specific territory to the exclusion of others. Should you have a situation involving a single source supplier, a letter on the manufacturer’s letterhead confirming the single source authorized vendor should be obtained.

The above mentioned documentation must be scanned and attached to the requisition in each instance the purchase is made from that Vendor and “Sole Source” must be noted in the “contract #” field of the requisition.

XI. Standardization

General Municipal Law, Section 103 makes it possible for the City of Batavia to standardize purchasing a particular type of material or equipment by City Council resolution. The resolution shall state that for reasons of efficiency and economy there is a need for standardization. It shall contain a full explanation supporting such action.

The adoption of such a resolution does not eliminate the necessity for conformance to the competitive bidding requirements, or other requirements of this policy. Standardization, as the word implies, restricts a purchase to a specific model or type of equipment or supply. *For example, to limit the purchase of trucks to a particular make or model on the basis of past performance and/or future plans. Previous experience may indicate that a certain vehicle is more economical to operate or functions more efficiently. A preventative maintenance program undertaken by the central garage may operate more efficiently and economically because of the ability to interchange parts.*

The make or model must be stated in the specifications, and any vendor who can furnish the item may bid. After such resolution is passed, bid specifications would no longer require the inclusion of the term “or equivalent” or “or equal” in bid specifications since, as a result of the resolution, anything other than City standard would not be acceptable.

The following items have been standardized by the City of Batavia as of this date:

Date

Item

XII. Vouchers- Reimbursement/Travel

Vouchers are used for employee reimbursement type situations. Examples of these instances include meal or mileage reimbursements.

All expenditures should be substantiated by attaching a paid receipt to the voucher. At no time will any employee be reimbursed for the payment of sales tax. Sales tax exempt forms are required to be used for all purchases made. They are on file in each department or are available in the Bureau of Finance.

Amounts to be reimbursed should comply with the City of Batavia Personnel Policies Manual.

All vouchers must have signed approval by a Bureau Chief, Department Head or City Manager, and should be coded with an account number with which to charge the expense.

In the case of mileage reimbursement, the following is required to be noted on the voucher:

1. Beginning and ending location;
2. Beginning and ending mileage;
3. Name of the person to be reimbursed;
4. Purpose of the travel; and
5. Calculation of the mileage reimbursement using the current IRS mileage rate.

See the Travel Expense section of this manual for further information regarding mileage reimbursement.

In the case of tuition reimbursement, compliance with employee's collective bargaining agreement is required. The following is necessary to accompany the voucher:

1. Department Head's advanced written approval of the class;
2. Receipt showing class payment; and
3. Grade report.

Voucher forms can be found in Appendix H of this policy or on the City's shared drive (s:/finance forms).

XIII. Professional services/Requests for Proposals (RFP) or Qualifications (RFQ)

Contracts for professional services, which are exempt under the General Municipal Law (GML), Section 103 are not subject to competitive sealed bidding requirements, but are subject to the guidelines of GML 104-b for competitive pricing to be obtained for these services. Professional services are services that require special skill, expertise and/or creativity.

Professional service examples include but are not limited to: insurance, engineering, marketing, stenographers, investment management, architect services, artistic services, attorney services, bond underwriters, financial auditors, financial consultants, management and system analysts and psychologists.

A department's decision to obtain services when competitive bidding is not required must be documented and justified to the City Manager's satisfaction. The City Manager and the City Attorney will determine when the formal request for proposal/qualification process will be used or if quotes or proposals may be obtained from specific vendors/firms. In the event it is determined that a formal request for proposal/qualification process is not necessary, the reason for that determination will be documented and that documentation will be scanned and attached to the requisition in KVS.

The information required for approval to request proposals for services that do not require competitive bidding shall include:

- a. A work statement or performance specification
- b. Time frames in which the work is to be completed
- c. Specific criteria to be used in evaluating the proposal

Request for Proposals/Qualifications may be legally advertised in the designated official newspaper of the City of Batavia and posted on the City's website. The decision to advertise will be at the discretion of the City Manager.

1. Request for proposals will be issued upon receiving all required documentation and approval from the City Manager to issue the RFP.
2. The City Manager, Department Heads and City Attorney will evaluate the proposals received for completeness, accuracy and compliance with the RFP requirements.
3. If appropriate, firms may be selected to make a presentation to the City Manager and Department Heads and/or City Council.
4. Requests for proposals or qualifications will be approved via resolution by City Council and the procurement documents will be executed by the Council President.
5. In the event a request for proposal/qualification is not required and where City Council has approved the procurement of professional services under the adopted budget, the final

ljin 12/2013

procurement decision and execution of procurement documents will be made by the City Manager. Professional services that do not require a request for proposal/qualification, of which funding is not provided for in the City of Batavia's adopted budget will require approval via resolution from City Council and execution of procurement documents by the Council President. This will be done in a manner as to assure the prudent and economical use of public moneys in the best interest of the taxpayers, to facilitate the acquisitions of goods and services of maximum quality at the lowest possible cost under the circumstances, and to guard against favoritism, improvidence, extravagance, fraud and corruption.

6. If a contract is awarded to other than the lowest responsible dollar offered, the reason for such award must be justified and documented.
7. After the contract is awarded, all documentation mentioned above in #s 1 – 6, including the City Manager's approval, are to be scanned and attached to the requisition.

Professional service contracts can cover a span of anywhere between 2 and 5 years. Contracts that cover a span of 2 and 3 years may be extended for another 3 years upon approval from City Manager.

XIV. Preferred Sources

Political subdivisions are required by law to purchase suitable products and commodities from sources granted Preferred Source status by the New York State Legislature. Preferred Sources are:

CORCRAFT

New York State Department of Correctional Services

Division of Industries (highest degree of preference)

www.corcraft.org

NEW YORK STATE PREFERRED SOURCE PROGRAM FOR PEOPLE WHO ARE BLIND (NYSPSP)

www.nyspsp.org

NEW YORK STATE INDUSTRIES FOR THE DISABLED, INC.

www.nysid.org

NEW YORK STATE OFFICE OF MENTAL HEALTH

BUY OMH

www.omh.ny.gov

XV. Petty Cash

A petty cash fund has been established in the amount of \$200.00 in the Clerk's Office and will be maintained by that office for reimbursement of minor purchases up to an amount of \$50.00 or less. The fund shall be used as a last resort for the payment of properly itemized invoices of nominal amounts and under conditions calling for immediate payment. Petty cash will be disbursed only when accompanied by a store receipt or invoice containing an approved signature and appropriate coding. At no time will any employee be reimbursed for the payment of sales tax. Sales tax exempt forms are required to be used for all purchases made. They are on file in each department or are available in the Bureau of Finance. Reimbursements will be made during the Clerk's Office normal business hours. Wherever possible, City employees should make purchases from local vendors who have credit accounts established with the City or with the City's credit card. These vendors are listed in Chapter XXI, "Local Established Credit Account Vendors" of this policy.

XVI. Credit Card Usage

It is the policy of the City of Batavia that a sole credit card be issued in the name of the City of Batavia with the City Manager identified on the card. The credit card issued will be with one of the authorized City depositories pursuant to Section VII of the City's Investment Policy.

The City Clerk shall maintain custody of the credit card. A department head seeking to use the card must contact the City Clerk. Once permission is granted by the City Clerk, the credit card can be used for the purpose of only the goods and/or services approved. The Department Head will be fully responsible and liable for the use of the card including in circumstances where a subordinate is making the purchase. Credit cards are to be signed out and back in, in the Clerk's Office. In the event of travel, a travel authorization form must be signed prior to credit card issue. Receipts must be attached to the sign out sheet upon return with appropriate approval signatures and expense coding.

The use of the credit card is only permitted in situations where a vendor will not accept a check or purchase order in payment for goods and services. Authorized credit card transactions include but are not limited to: travel and conference expenditures including registration fees, hotel, webinar fees, internet purchases, dues and subscriptions. Credit cards should not be used for vendors with which the City has an established credit account. A listing of those businesses with established accounts can be found in Chapter XXI, "Local Established Credit Account Vendors", of this policy. Cash advances are not permitted. All purchases of goods or services transacted with a credit card shall comply with all other sections of this policy. At no time will any employee be reimbursed for the payment of sales tax. Sales tax exempt forms are required to be used for all purchases made. They are on file in each department or are available in the Bureau of Finance. Any credit card transactions that include the payment of sales tax will require reimbursement from the employee for the sales tax.

In the event the card is lost or stolen, the individual must report the loss or theft immediately to the City Clerk and to the credit card issuer. Fraudulent use of the credit card by any employee may result in immediate suspension of card privileges, employee reimbursement to the City of Batavia via check payable to the City of Batavia within 48 hours, and formal disciplinary action including termination of employment, if appropriate.

XVII. Contracts

A purchase order is a legal contract by and between the City of Batavia and a vendor. It authorizes the vendor to deliver a product, good or service. Purchase orders are not to be prepared after a department has already received an item or when services have already begun except in the case of a Declared Emergency. The City of Batavia will not be responsible for purchases made without appropriate prior authorization as set forth in this manual.

Original contracts associated with professional services and competitive bids are required to be kept on file in the Clerk's Office in addition to being scanned and attached to the requisition they support. The Clerk's Office is the custodian of all City records.

As noted in Appendix A, the procurement of goods and services that fall below the threshold required for competitive bidding, the final procurement decision and execution of procurement documents will be made by the City Manager. The procurement of goods and services which require competitive bidding will require approval via resolution from City Council and execution of procurement documents by the Council President. This will be done in a manner as to assure the prudent and economical use of public moneys in the best interest of the taxpayers, to facilitate the acquisitions of goods and services of maximum quality at the lowest possible cost under the circumstances, and to guard against favoritism, improvidence, extravagance, fraud and corruption.

XVIII. Travel expenses

As stated in the City of Batavia Personnel Policies Manual, certain travel expenses shall be paid by the City and/or reimbursed to an employee. General Municipal Law, Section 77-b states no claim or expense shall be paid unless a travel authorization form, signed by the respective Department Head or City Manager, is attached to the voucher or invoice.

Travel authorization forms can be found in Appendix H of this policy or on the City's shared drive (s:/finance forms). Travel authorization forms are to be completed only when you anticipate expenses assessed to you as a result of travel to a conference, for training, etc.

Mileage for travel will be reimbursed based on the Internal Revenue Service standard mileage rate in effect at the time of travel. Current rates may be found at <http://www.irs.gov/Tax-Professionals/Standard-Mileage-Rates>. Vouchers shall be used to claim mileage reimbursement and the beginning and ending location and mileage must appear on the voucher in order for payment to be made, along with the name of the person to be reimbursed, the purpose of the travel and the calculation of the reimbursement. Voucher forms can be found in Appendix H of this policy or on the City's shared drive (s:/finance forms).

Meals while traveling to or attending training, school or conferences will be reimbursed by the City at the rates listed below, only when meals are not provided as part of the training, schooling or conference. An itemized bill for each meal must be submitted. Rates for meals include gratuities and are not cumulative. Alcohol will be not included for reimbursement.

Meal	Maximum Allowance	Applicable Period
Breakfast	\$ 8.00	When an overnight stay is required.
Lunch	\$15.00	When the training, conference or seminar requires you to be away during normal business hours.
Dinner	\$20.00	When an overnight stay is required.

Lodging while traveling to or attending training, school or conferences should be arranged for in advance and the City's credit card may be used for reservations. See Credit Card Usage in this manual for further information. Employees should present to the hotel an Exemption Certificate ST-129 to ensure that sales taxes are not charged. The ST-129 Exemption Certificate form can be found in Appendix H of this policy or on the City's shared drive (s:/finance forms). Important to note, the ST-129 Exemption Certificate is for exemption of sales tax for hotel occupancy only. Employees are urged to verify their hotel receipts prior to check out to make certain sales taxes have not been charged and no additional charges are assessed. At no time will the City of Batavia pay or reimburse an employee for the payment of sales tax. Sales tax exempt forms are required to be used for all purchases made. They are on file in each department or are available in the Bureau of Finance.

XIX. Exceptions to Certain Purchasing Requirements

The following expenses do not require a purchase order:

1. Utility bills
2. Heating fuel
3. Vehicle fuel
4. Petty cash items
5. Medical exams
6. Collection fees
7. Software support agreements
8. Subscriptions
9. Dues
10. Social security and workers compensation premiums
11. Health and dental premium payments
12. Insurance premiums
13. Insurance settlements
14. Legal settlements/judgments and/or claims
15. Postage
16. Payments on bonds, BANs and RANs
17. Payments on leases
18. Election fees
19. Travel/training/conferences which will not exceed \$1,000 per event
20. Payment of school taxes
21. Payment of county taxes
22. Payment of payroll taxes
23. Payroll withholding payments
24. Police contraband funds
25. Insurance benefits
26. Interfund transfers or payments fund reserves

This list is subject to amendment in the future as changes are deemed necessary.

XX. Surplus Property and Scrap Metal

No items owned by the City of Batavia may be destroyed or disposed of without prior approval. As noted in the resolution authorizing the adoption of the City's Disposition of Surplus Property dated May 27, 2013, found in Appendix F of this policy, any item owned by the City of Batavia valued at less than \$1,000 can be declared surplus and disposed of with the approval of the City Manager. Items valued at \$1,000 or greater must be declared surplus via resolution and approved by City Council. The valuation of items is based on a good faith estimate by the Bureau Chief, Department Head or City Manager requesting the items to be surplus.

A City of Batavia Property Disposal/Transfer Form (for items valued at less than \$1,000) can be found in Appendix I of this policy or on the City's shared drive (s:/finance forms).

A sample resolution for the declaration of surplus equipment can be found in Appendix I of this policy.

City of Batavia Personnel Policies Manual, Section 8, Article 1.C.5 states, "In order to avoid any potential conflicts of interest or to avoid even the appearance of impropriety, no paid municipal employee or City Council Member and/or no business corporation or entity of any nature in which these individuals have an interest, shall be permitted to contract with the City of Batavia or to purchase any real or personal property offered for sale by the City of Batavia. Any bid received by the City of Batavia in contravention of this mandate shall be rejected and declared null and void."

As noted in the resolution authorizing the adoption of the City's Scrap Metal Disposal Policy, Resolution #15-2011, found in Appendix G of this policy, all scrap/waste metal generated from the operations of the Bureau of Maintenance are the property of the City of Batavia. All scrap metal shall be properly disposed of. All miscellaneous metals will be placed in the scrap metal dumpster to be picked up by the City's scrap vendor as requested by the City.

When in the best interest of the City, single type metal scrap (e.g. cast iron, aluminum, copper), may be stockpiled separately at the Bureau of Maintenance and the Water and Sewer Plants for disposal. The City will make special arrangements for pick up of the single type metals to ensure receipt by the scrap vendor.

The scrap vendor will provide the City of Batavia a printed receipt for all materials received. Any employee involved in the disposal of scrap metals will not accept cash. All payments from the scrap vendor shall be in the form of a check made payable to the City of Batavia and sent to the City Clerk's Office.

XXI. Local Established Credit Account Vendors

Following is a list of local vendors for which the City of Batavia currently has established accounts. These vendors are available to be used by employees for convenience and to avoid reimbursement situations. These vendors are to be used for diminutive and nominal purchases and are not to be used to circumvent the procurement process. Receipts are required to be approved and coded for payment.

Advantage Auto Parts
238 West Main Street
Batavia, NY 14020

I.D. Booth, Inc.
60 Liberty Street
Batavia, NY 14020

Batavia Restaurant Supply
301 West Main Street
Batavia, NY 14020

NAPA Automotive Parts & Accessories
341 West Main Street
Batavia, NY 14020

Cedar Street Sales and Rentals
111 Cedar Street
Batavia, NY 14020

Pauly's Pizzeria, Inc.
314 Ellicott Street
Batavia, New York 14020

Country Line Electric
5059 East Main Street
Batavia, NY 14020

Schaefer Plumbing Supply
44 Swan Street
Batavia, NY 14020

Genesee Auto Supply Co.
412 East Main Street
Batavia, NY 14020

TOPS Markets, LLC
390 West Main Street
Batavia, NY 14020

Genesee Lumber Co., Inc.
76 Franklin Street
Batavia, NY 14020

Upson-Maybach, Inc.
662 East Main Street
Batavia, NY 14020

Gui's Lumber & Home Center
3892 West Main Street
Batavia, NY 14020

Wal-mart Stores, Inc.
4311 Veterans Memorial Drive
Batavia, NY 14020

This list is subject to amendment in the future as changes are deemed necessary.

XXII. Best Value

General Municipal Law, Section 103 makes it possible for the City of Batavia to award purchase contracts (including contracts for service work, but excluding any purchase contracts necessary for the completion of a public works contract pursuant to article eight of the labor law) on the basis of best value. It also allows the City to piggyback most out of state municipal, County, State, political subdivision or district bids which are awarded based on best value. In addition, it allows the City to utilize contracts with cooperatives where contracts may have been awarded based on best value.

“Best Value” means the basis for awarding contracts for services to the offeror who optimizes quality, cost and efficiency. Using this basis requires, wherever possible, objective and quantifiable analysis.

Should the City of Batavia elect to award a purchase contract on the basis of best value, the City must determine the following: (1) the offeror is responsive and responsible; and (2) objective and quantifiable standards are applied whenever possible to determine that the offer optimizes quality, cost and efficiency.

1. Piggybacks and Cooperatives

A. Piggybacking bids awarded based on best value

The City of Batavia may piggyback most out of state municipal, County and/or State contracts that have been awarded based on best value as long as those bids have been extended to local governments. The contract must have been let by the United States or any agency thereof, any state or any county, political subdivision or district therein. In order for this exception to apply, the contract must be let either to the lowest responsible bidder or on the basis of best value in a manner consistent with GML section 103 and made available for use by other governmental entities. The contract must explicitly authorize piggybacking and must be let in accordance with competitive bidding laws. Be aware of other cost factors including delivery charges. Most OGS contracts are “Free on Board” and delivery to the purchaser’s location is generally free. Other miscellaneous costs should be investigated before you commit to purchasing.

B. Cooperative Purchasing

The City of Batavia is authorized to enter into cooperative purchasing arrangements for the purpose of purchasing. Many cooperatives award bids based on best value. The

benefits of cooperative purchasing are potential cost savings attained by lower commodity prices (achieved through economies of scale) and lower joint administrative costs. In a cooperative purchasing arrangement, all laws relating to competitive bidding or competitive offering must be complied with and the cooperative agreement must be in place prior to the solicitation of bids or offers.

C. Office of the State Comptroller Requirements and Guidance

In all of the above situations where bids are being piggybacked or when the City is contracting with a cooperative, it is the City's responsibility to review each proposed procurement to determine whether the procurement meets the exception which allows piggybacking in place of competitive bidding. In reviewing each proposed procurement, there are three prerequisites that must be met in order for a procurement of apparatus, materials, equipment and supplies, and related installation, repair and maintenance services, to fall within this exception. Note, the City has the burden of reviewing this, and documenting that a review was performed and the results of the review. The Office of the State Comptroller has put together a bulletin to provide further guidance when undertaking this review. It is summarized as follows:

1. The contract must have been let by the United States or any agency thereof, any state or any other political subdivision or district therein. Therefore, there must be an underlying contract let by a governmental entity. Contracts developed for use by local governments that are let by private parties (e.g., a private company, association or non-profit corporation is the party awarding the contract to the vendor), would not fall within the exception.
2. The contract must have been made available for use by other governmental entities. This means that the other governmental entity has taken steps to make its contracts available for New York local governments. This would occur by inclusion in the contract a clause extending the terms and conditions of the contract to other governmental entities. Unilateral offers by vendors to extend contract pricing and other terms would not fall within the exception.
3. The contract must have been "let to the lowest responsible bidder or on the basis of best value in a manner consistent with this section." The term "consistent with this section" refers to General Municipal Law §103 (and related case law) applicable to New York State political subdivisions. The City needs to obtain background information on the procedures used to let the contract and, as necessary, consult with its counsel, to determine whether this prerequisite is met. Additional guidance on complying with this prerequisite follows:

In order for a non-New York contract to have been let to the lowest responsible bidder or on the basis of best value in a manner "consistent" with GML §103, the procedures used

by that government need not be exactly the same as those under GML §103. Rather, the procedures should be in harmony or general agreement with, and further the same principles as the competitive bidding or best value requirements of GML §103. The purpose of GML §103 is to guard against favoritism, improvidence, extravagance, fraud, and corruption, and to foster honest competition in order that the City may obtain the best goods and services at the lowest possible price to protect the public interest.

Based on this, there are four fundamental elements that should be present in the procedures used by the non-New York entity in letting its contract in order for the process to have been let to the lowest responsible bidder or on the basis of best value consistent with GML §103. It is the City's responsibility to review and document the review making sure these four elements are present.

- a. Public solicitation of bids or, in the case of best value, offers. A public solicitation is consistent with the statutory advertising requirement in GML §103, and services to ensure that the purposes of GML §103 are furthered.
- b. Submission of sealed bids or offers, or analogous procedures to secure and preserve the integrity of the process and confidentiality of the bids or offers submitted. A secure competitive bidding or best value process is consistent with sealed competitive bidding and competitive offering requirements of GML §103 and helps foster honest competition and guard against collusion.
- c. Preparation of specifications, or a similar document that provides a common standard for bidders or offerors to compete fairly. Consistent with the purposes of GML §103, the City, in advance of the submission of bids or offers, should convey the nature of the goods or services and other information necessary for prospective bidders or offerors to make an intelligent evaluation and bid or offer, without being unduly restrictive. In the case of a best value process, that generally should include a description of the manner in which the evaluation of the offers and award of the contract will be conducted and, as appropriate, identify the relative importance or weight of price and non-price factors.
- d. Award to the lowest bidder who materially or substantially meets the bid specifications and is determined to be a responsible bidder, or in the case of a best value process, an award to the responsive and responsible offeror which optimizes quality, cost and efficiency, reflecting objective and quantifiable analysis, whenever possible. A contract awarded through a negotiation process would not be consistent with the requirements and purposes of awarding to the lowest responsible bidder or on the basis of best value in a manner consistent with GML§103.

The City must maintain appropriate documentation to allow for a thorough review of the decision to use this exception to competitive bidding. This documentation should include such items as copies of the contract, analysis of the contract to ensure it meets the three prerequisites stated above, and cost savings analysis including consideration of other procurement methods. A Cooperative Contract Due Diligence form must be used to document the City's verification of these requirements. The Cooperative Contract Due Diligence form can be found in Appendix H or in the shared drive (s:/Finance Forms).

D. Procurement procedures for piggybacks and cooperatives

1. The portion of the bid containing the language authorizing municipalities to piggyback, and documentation stating who was awarded that bid (ie. resolution) must be scanned and attached to the purchase order requisition in KVS.
 2. The purchase contract being utilized is to be scanned and attached to the purchase order requisition in KVS.
 3. The use of the contract needs to be noted in the "contract #" field of the requisition in KVS.
 4. Documentation such as the contract, and analysis of the contract to ensure it meets the three prerequisites as required by the Office of the State Comptroller, cost savings analysis including consideration of other procurement methods and correspondence with legal council should be kept on file with the contract in the clerk's office.
 5. A statement should be added to the "memo" tab of the purchase order requisition stating that the analysis was completed, by whom it was completed, and that the contract was found to be consistent with GML §103.
 6. Contracting with cooperatives differs depending on the cooperative. Some may require a signed contract in order to use one of their contracts, others do not allow contracting with other cooperatives. If a contract is required, consult with the City Manager and the City Attorney.
2. Preparing City of Batavia bids to be awarded using best value
- A. It is required to state in the bid for goods and services that the award will be made on the basis of best value.

- B. Identify a minimum of four (4) criteria that will be considered from the criteria list provided below. The criteria may include, but shall not be limited to, those listed below. The criteria is required to be clearly stated in the bid. Criteria should support City philosophies and should make sense based on what is being purchased. Your selection needs to be defensible.

- C. It is required that the bid include a statement of how best value will be evaluated. That determination shall be based on an objective analysis of clearly described and documented criteria as they apply to the rating of bids or offers. Where possible, the determination shall be based upon and include a quantifiable analysis. The method(s) for scoring and weighting criteria needs to be clearly documented in the bid. Where applicable, require the bidder to provide proof by independent verification, as it relates to criteria chosen. This must be clearly stated in the bid document.

- D. When evaluating bid results, record the evaluation and document the scoring. Make sure to follow methods precisely documented in the bid document.

- E. All other requirements for competitive bidding apply such as advertising, sealed bids or offers, non-collusion statements, bids or offers are publicly opened and read, etc.

- F. Consult with the City Attorney prior to bidding.

- G. Criteria examples include but are not limited to the following:
 - 1. Features of the offered product or service set forth in detailed specifications for the product offered;
 - 2. Warranties and/or maintenance to be provided with the product or service along with the availability of replacement parts or maintenance contracts;
 - 3. References, past performance and reliability, durability of the product being offered and current or past experience with provision of similar goods or services;
 - 4. Organization, staffing (both members of staff and particular abilities and experience), and ability to undertake the type and complexity of the work;
 - 5. Financial capability;

6. Record of compliance with all federal, state and local laws, rules, licensing requirements, where applicable, and executive orders, including but not limited to compliance with existing labor standards and prevailing wage laws;
7. Proximity to the end user if distance or response time is a significant term;
8. Added costs for training, transportation, installation and/or disposal; and
9. Environmental – less environmentally harmful manufacturing, less harmful end of life disposal, do they recycle.

Appendix A – Threshold Grid

The following charts constitute a minimum requirement for the acquisition of goods and services. When appropriate you may choose a greater level of competition. Threshold amounts are determined based on the aggregate amount reasonably expected to be spent on the same or similar goods/services within a 12 month period. See the “General Purchasing Procedure” section for more aggregate information.

Purchase Contract

Threshold	Requirement	Approval	KVS
\$1,000 - \$2,999	3 verbal quotes	Department Head	Use quote tab
\$3,000 - \$19,999	3 written/fax quotes	City Manager	Use quote tab and scan & attach
\$20,000 and over	Competitive bid	City Council	Reference contract # and scan & attach bid or contract

Exceptions:

1. Where City owned equipment has been sent to an authorized shop for an estimate for necessary repairs under a purchase order, that purchase order may be amended up to a total of \$5,000 for actual repairs upon provision of a written estimate by the shop without additional quotes required. The written estimate must be signed by the Department Head before authorization may be given to vendor to complete the work of the original purchase order.
2. For insurance recoverable expenses, a purchase order can be issued after three quotes/vendor prepared estimates are received and one is accepted by the City’s insurance adjuster.
3. Where the City requires lodging for employees, elected or appointed officials or in conjunction with a conference or training event approved previously by a Department Head, a purchase order may be issued based on confirmation of rates from the hotel with no quotes. This also applies to training classes and conferences.
4. Every attempt will be made to receive the number of quotes required. In the event a vendor is unable to quote, make an attempt to get a letter stating the vendor was unable to quote and the reason is to be scanned and attached to the requisition.
5. Any requisition that is over budget and any emergency purchase will require City Manager approval.

Public Works Contract

Threshold	Requirement	Approval	KVS
\$1,000 - \$2,999	3 verbal quotes	Department Head	Use quote tab
\$3,000 - \$9,999	2 written/fax quotes	City Manager	Use quote tab and scan & attach
\$10,000 – 34,999	3 written/fax quotes	City Manager	Use quote tab and scan & attach
\$35,000 and over	Competitive bid	City Council	Reference contract # and scan & attach bid or contract

Appendix B

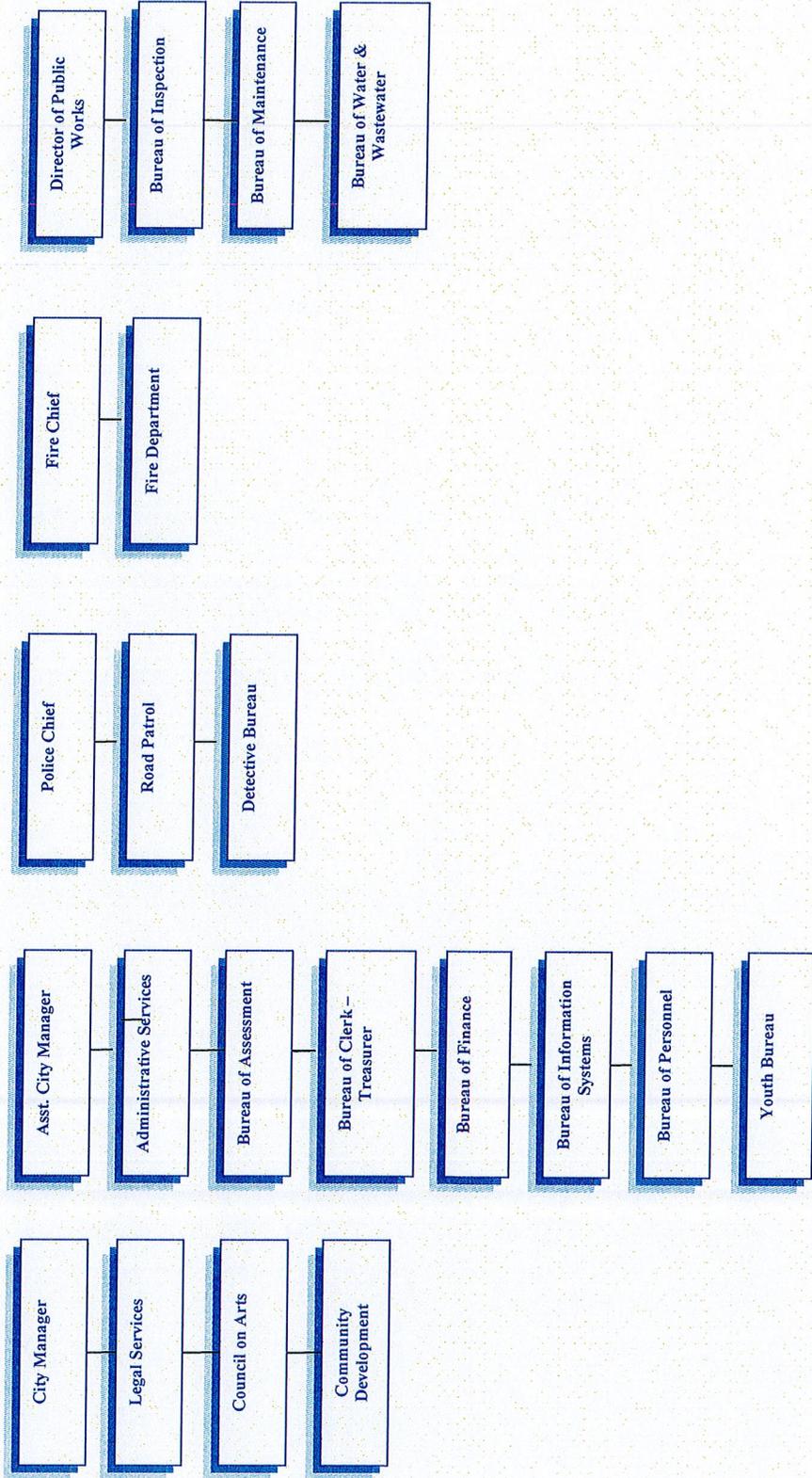
Individuals Responsible for Purchasing

Last Name	First Name	Title
Amiss	Laura	Senior Clerk Typist
Benedict	Karen	Police Clerk Typist
Bolles	Eric	Police Sergeant
Camp	Chris	Police Sergeant
Cassidy	Amy	Deputy Clerk/Treasurer
Chilano	Meg	Clerk Typist
Allen	Scott	Supervisor, Auto Mechanics
Coffey	Dan	Police Sergeant
Crossett	Todd	Police Detective Sergeant
Davis	Bill	Water & Wastewater Maintenance Supervisor
Driscoll	Kerry	Clerk Typist
Fairbanks	Dawn	Human Resource Specialist
Stevenson	Brett	Public Works Supervisor
Ficarella	Jim	Public Works Supervisor
Fix	Bob	Fire Lieutenant
Casey	Lisa	Confidential Secretary
Funke	Toni	Youth Bureau Coordinator
Gass	Teri	Financial Clerk
Green	Dave	Fire Lieutenant
Russ	Jennifer	Financial Clerk - Youth Bureau
Herberger	Dan	Fire Captain
Heubusch	Shawn	Police Chief
Hinz	Marty	Fire Lieutenant
Kuzon	Sally	Director of Public Works
Lutey	Matthew	Police Sergeant
Maxwell	Jim	Fire Chief
Mikolajczyk	Mark	Fire Captain
Molino	Jason	City Manager
Neary	Lisa	Deputy Director of Finance
Neilans	Charles	Chief Water Treatment Plant Operator
Palmer	Patty	Senior Clerk Typist
Parker	Heidi	Clerk/Treasurer
Shilvock	Greg	Fire Captain
Sikorski	Jocelyn	Youth Director
Smith	Janice	Administrative Assistant
Tourt	Ray	Superintendent of Maintenance
Volk	Eric	Chief Wastewater Treatment Plant Operator
Whitcombe	Jeff	Fire Lieutenant
Williams	Craig	Fire Captain
Worth	Matt	Superintendent of Water and Wastewater
Yaeger	Robb	Assistant Police Chief

This list is subject to amendment in the future as changes are deemed necessary.

Appendix C

City of Batavia Purchasing Approval Chart



Appendix D

Standardization Resolution

There are none at this time.

#32-2015

**RESOLUTION AUTHORIZING THE ADOPTION OF A PURCHASING MANUAL FOR
THE CITY OF BATAVIA, NEW YORK**

Motion of Councilperson Cipollone

WHEREAS, General Municipal Law requires the governing body of every municipality annually review and adopt a procurement policy for all goods and services; and

WHEREAS, the City Council last adopted its Purchasing Manual on February 10, 2014; and

WHEREAS, it is required by the Office of the New York State Comptroller that the City Council annually review the City's procurement policy and update as needed; and

WHEREAS, comments have been solicited from all Department Heads and Bureau Chief's in the City of Batavia involved in the procurement process; and

WHEREAS, said Purchasing Manual has been reviewed and approved by the City's Attorney; and

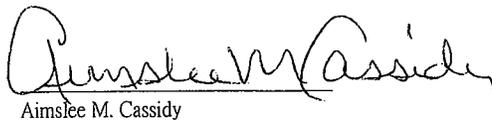
NOW THEREFORE, BE IT RESOLVED, that the City Council of the City of Batavia, New York does hereby adopt the following Purchasing Manual effective immediately.

Seconded by Councilperson Deleo and on roll call approved 8-0. Council President Hawley was absent.

STATE OF NEW YORK
COUNTY OF GENESEE
CITY OF BATAVIA

I hereby certify that the foregoing is a true and correct transcript of a Resolution duly adopted by the City Council of the City of Batavia on the 13th day of April, 2015, and of the whole thereof.

Dated at Batavia, NY, 4/17/15



Aimslee M. Cassidy
Deputy City Clerk, Batavia, NY

#80-2014

RESOLUTION INTRODUCING A LOCAL LAW TO AMEND THE CODE OF THE CITY OF BATAVIA BY ADDING CHAPTER 18 – BEST VALUE

Motion of Councilperson Jankowski

BE IT RESOLVED, that Local Law No. 3 of the Year 2014 entitled “A LOCAL LAW TO AMEND THE CODE OF THE CITY OF BATAVIA BY ADDING CHAPTER 18 – BEST VALUE TO AUTHORIZE THE USE OF BEST VALUE, FOR PURCHASE CONTRACTS (INCLUDING CONTRACTS FOR SERVICE WORK, BUT EXCLUDING ANY PURCHASE CONTRACTS NECESSARY FOR THE COMPLETION OF A PUBLIC WORKS CONTRACT PURSUANT TO ARTICLE EIGHT OF THE LABOR LAW) MAY BE AWARDED ON THE BASIS OF LOW BID OR BEST VALUE, AS AUTHORIZED IN SECTION 103 OF THE GENERAL MUNICIPAL LAW AND AS DEFINED IN SECTION ONE HUNDRED SIXTY-THREE OF THE STATE FINANCE LAW” be introduced before the City Council of Batavia, New York; and

BE IT FURTHER RESOLVED, that copies of the aforesaid proposed Local Law be laid upon the desk of each member of the City Council by the City Clerk; and

BE IT FURTHER RESOLVED, that the City Council hold a public hearing on said proposed Local Law in the Council Board Room, Second Floor, One Batavia City Centre, Batavia, New York, at 7:00 p.m. on Monday, October 27, 2014; and

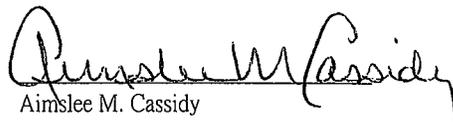
BE IT FURTHER RESOLVED, that the City Clerk publish or caused to be published a public notice in the official newspaper of the City of said public hearing at least three (3) days prior thereto.

Seconded by Councilperson Briggs and on roll call approved unanimously.

STATE OF NEW YORK
COUNTY OF GENESEE
CITY OF BATAVIA

I hereby certify that the foregoing is a true and correct transcript of a Resolution duly adopted by the City Council of the City of Batavia on the 14th day of October, 2014, and of the whole thereof.

Dated at Batavia, NY, 4/17/15


Aimslee M. Cassidy
Deputy City Clerk, Batavia, NY

**LOCAL LAW NO. 3 OF THE YEAR 2014
CITY OF BATAVIA**

A LOCAL LAW TO AMEND THE CODE OF THE CITY OF BATAVIA BY ADDING CHAPTER 18 – BEST VALUE TO AUTHORIZE THE USE OF BEST VALUE, FOR PURCHASE CONTRACTS (INCLUDING CONTRACTS FOR SERVICE WORK, BUT EXCLUDING ANY PURCHASE CONTRACTS NECESSARY FOR THE COMPLETION OF A PUBLIC WORKS CONTRACT PURSUANT TO ARTICLE EIGHT OF THE LABOR LAW) MAY BE AWARDED ON THE BASIS OF LOW BID OR BEST VALUE, AS AUTHORIZED IN SECTION 103 OF THE GENERAL MUNICIPAL LAW AND AS DEFINED IN SECTION ONE HUNDRED SIXTY-THREE OF THE STATE FINANCE LAW

Be It Enacted by the Council of the City of Batavia, New York as follows:

[§18-1. Title and authority

- A. This chapter shall be known and may be cited as “Best Value”.
- B. The City of Batavia, under the authority of §103 of the General Municipal Law and as defined in section one hundred sixty-three of the State Finance Law, hereby enacts this chapter.

§18-2. Declaration of Intent

- A. The intent of this Local Law shall be to authorize the use of Best Value criteria when awarding purchase and service contracts consistent with Section 103 of the General Municipal Law and Section 163 of the New York State Finance Law. Use of best value criteria is intended to provide the City of Batavia greater flexibility in awarding contracts and ensure that the City of Batavia obtains the highest quality goods and services at a low cost. Awarding contracts on the basis of Best Value standards is further intended to promote competition, foster fairness among vendors and competitors, expedite contract awards, optimize quality, control costs and enhance efficiency among responsive and responsible offerors.

§18-3. Definitions

- A. Purchase Contracts – Contracts for goods, commodities and equipment, including technology.
- B. Public Works Contracts – Contracts for items or projects involving primarily labor or both material and labor where labor is the major portion of the contract.
- C. Best Value – The basis for awarding contracts for services to the offeror which optimizes quality, cost and efficiency, among responsive and responsible offerors. Such basis shall reflect, wherever possible, objective and quantifiable analysis. Such basis may also identify a quantitative factor for offerors that are small businesses or certified minority or women-owned business enterprises as defined in Executive Law Section 310 (1), (7), (15) and (20) and as may be amended.
- D. Procurement record – Purchasing documents such as requisition, purchase order, and competitive bid, etc.
- E. Responsive and responsible offeror – A responsive offeror is an offeror meeting the minimum specifications. In assessing whether an offeror is responsible, the City of Batavia should consider an

offeror's capacity and financial ability to complete the contract, accountability, past performance, reliability and integrity per State Finance Law, section 163 (l)(c) and (l)(d).

§18-4. Requirements

- A. Where the basis for award is the best value offer, the procurement record shall include documentation, in advance of the initial receipt of offers, the evaluation criteria, which whenever possible, shall be quantifiable, and the process to be used in the determination of best value and the manner in which the evaluation process (rating of proposals) and selection shall be conducted.
- B. The solicitation shall identify the relative importance and/or weight of cost and the overall technical criterion to be considered by the City of Batavia in its determination of best value.
- C. Best Value is also an approved award basis for contracts to be piggybacked.
- D. Procedures that govern the award of contracts on the basis of best value shall be included in the City of Batavia's Purchasing Manual and reviewed annually by the Council of the City of Batavia in conjunction with its annual review and approval of the Purchasing Manual, consistent with General Municipal Law, section 104-b(2)(f).

§18-5. Severability

If any section or subsection, clause, sentence, paragraph, subdivision, or part of this Local Law or the application thereof to any person, firm or corporation, or circumstance, shall be adjusted by any court or competent jurisdiction to be invalid or unconstitutional, such order or judgment shall not affect, impair or invalidate the remainder thereof, but shall be confined in its operation to the section or subsection, clause, sentence, paragraph, subdivision or part of this Local Law or in its application to the person, individual, firm or corporation or circumstance, directly involved in the controversy in which such judgment or order shall be rendered.

§18-4. Effective Date

This Local Law shall take effect immediately upon filing with the Secretary of State.]

Deletions designated by ~~strikeout~~

Additions designated as [brackets]

APPENDIX E

#7-2014

RESOLUTION AUTHORIZING THE ADOPTION OF A PURCHASING MANUAL FOR THE CITY OF BATAVIA, NEW YORK

Motion of Councilperson Canale

WHEREAS, General Municipal Law requires the governing body of every municipality annually review and adopt a procurement policy for all goods and services; and

WHEREAS, the City Council last adopted its Purchasing Manual on March 24, 2003; and

WHEREAS, the Office of the New York State Comptroller completed an audit (2013M-296) to determine if the City properly awards contracts for goods and/or services; and

WHEREAS, it was recommended by the Office of the New York State Comptroller that the City Council annually review the City's procurement policy and update as needed; and

WHEREAS, comments have been solicited from all Department Heads and Bureau Chief's in the City of Batavia involved in the procurement process; and

WHEREAS, said Purchasing Manual has been reviewed and approved by the City's Attorney; and

NOW THEREFORE, BE IT RESOLVED, that the Batavia City Council of the City of Batavia, New York does hereby adopt the following Purchasing Manual effective immediately.

Seconded by Councilperson Briggs and on roll call approved 9-0.

I hereby certify that the foregoing is a true and correct transcript of a resolution duly adopted by the City Council of the City of Batavia on the 10th day of February, 2014 and of the whole thereof.

Dated at Batavia, NY, February 11, 2014



Heidi J. Parker
City Clerk, Batavia, NY

Appendix F

**A RESOLUTION AUTHORIZING THE ADOPTION OF A DISPOSITION OF SURPLUS
PROPERTY POLICY FOR THE CITY OF BATAVIA, NEW YORK**

Motion of Councilperson Moscicki

WHEREAS, the City of Batavia occasionally identifies tangible public property as surplus; and

WHEREAS, the City of Batavia has determined that said property is no longer needed for public use;
and

WHEREAS, the City of Batavia is desirous of having a policy to dispose of said property in an equitable manner.

NOW, THEREFORE, BE IT RESOLVED, that the Batavia City Council of the City of Batavia, New York, hereby authorizes the adoption of the following *Disposition of Surplus Property Policy* to become effective immediately.

I. Disposition of Surplus Property.

It is the policy of the City of Batavia, New York, that surplus property shall be disposed of in an orderly, equitable, and efficient manner.

A. Surplus property is defined as any tangible public property with a value of \$1,000 or more.

1. *Exception.* Firearms.

2. *Exception.* Real estate.

II. Procedures.

The following procedures shall be utilized by the City of Batavia and staff for the disposal of surplus property by the City of Batavia.

A. Surplus property shall be identified by the Department Head and then forwarded to the City Manager for consideration for disposal.

B. Tangible public property, with a value of less than \$1,000, shall be disposed of at the discretion of the City Manager.

C. The Manager or his or her designee shall determine if any other city department or bureau can use the potential surplus property and, if so, said property shall be transferred to said department or bureau. Otherwise, said property shall be declared to be surplus and shall be disposed of pursuant to this policy.

D. Prior to the transfer or disposal of any tangible public property by the City, the Batavia City Council shall make a determination that such property is to be declared surplus.

Appendix F (con't)

- E. After the declaration by Batavia City Council that said property is surplus, the Manager or his or her designee is authorized to dispose of surplus property by sale, exchange, lease, permit or transfer, for cash, credit, or other property, with or without warranty.
- F. Following the disposal of surplus property, the City Manager or his or her designee shall report to the Batavia City Council that the property has been disposed of and the manner of disposal and profits, if any, received by the City from the sale.
- G. The City Manager or his or her designee shall record or cause to be recorded any profits from the disposal of surplus property to the City Clerk.
- H. The time and manner of the sale shall be determined by the City Manager or his or her designee.
- I. This policy shall take effect immediately upon adoption.

Seconded by Councilperson Briggs and on roll call approved unanimously.

I hereby certify that the foregoing is a true and correct transcript of a resolution duly adopted by the City Council of the City of Batavia on the 27th day of May, 2003 and of the whole thereof.

Dated at Batavia, NY, November 27, 2013



Heidi J. Parker
City Clerk, Batavia, NY

Appendix G

#15-2011

RESOLUTION AUTHORIZING THE ADOPTION OF A SCRAP METAL DISPOSAL POLICY FOR THE CITY OF BATAVIA, NEW YORK

Motion of Councilperson Bialkowski

WHEREAS, the City of Batavia occasionally identifies scrap metal as surplus; and

WHEREAS, the City of Batavia on May 27, 2003 adopted a *Disposition of Surplus Property Policy*;
and

WHEREAS, the Office of the New York Comptroller completed an audit to determine if internal controls over the collection and safeguarding of scrap material and the receipt of sale proceeds were appropriately designed and operating effectively; and

WHEREAS, it was recommended by the Office of the New York Comptroller that the City of Batavia document the existing procedures to ensure all scrap material is adequately secured and that sales proceeds are remitted only by check made payable to the City of Batavia;

NOW, THEREFORE, BE IT RESOLVED, that the Batavia City Council of the City of Batavia, New York, hereby authorizes the adoption of Attachment A, the *Scrap Metal Disposal Policy*, to become effective immediately.

Seconded by Councilperson Buckley and on roll call approved 9-0.

Attachment A

Scrap Metal Disposal Policy

Departmental Responsibilities / Storage of Material

All scrap / waste metal generated from the operations of the Bureau of Maintenance are the property of the City of Batavia. All scrap metal shall be properly disposed of. All miscellaneous metals will be placed in the scrap metal dumpster to be picked up by the City's scrap vendor as requested by the City.

When in the best interest of the City, single type metal scrap (e.g. cast iron, aluminum, copper), may be stockpiled separately at the Bureau of Maintenance for disposal. The City will make special arrangements for pick up of the single type metals to ensure receipt by the scrap vendor.

Financial Tracking

The scrap vendor will provide the City of Batavia a printed receipt for all materials received. Any employee involved in the disposal of scrap metals will not accept cash. All payments from the scrap vendor shall be in the form of a check made out to the City of Batavia and sent to the City Clerk's office.

Appendix G (con't)

I hereby certify that the foregoing is a true and correct transcript of a resolution duly adopted by the City Council of the City of Batavia on the 14th day of February, 2011 and of the whole thereof.

Dated at Batavia, NY, November 27, 2013

A handwritten signature in black ink, appearing to read "Heidi J. Parker". The signature is fluid and cursive, with a long horizontal flourish extending to the right.

Heidi J. Parker
City Clerk, Batavia, NY

Appendix H

Forms:

- a. Purchase Order Requisition Form
- b. Voucher Form
- c. Disposal Form
- d. Travel Authorization Form
- e. New York State Exemption Certificate for hotel room occupancy (Form ST-129)

Note: All forms are available on the City of Batavia computer system. They are located on the shared drive S:/finance forms/

City of Batavia
Purchase Order Requisition Form

Date: _____
Requisition #: _____

Commodity or Service Requested: _____

- Estimated aggregate dollar amount to be spent on same or similar commodities in the next 12 months City-wide: _____
- Department Head/Bureau Chief approval: _____
- Quotes obtained by: _____

<u>Acct # (fund, dept, item, project)</u>	<u>Amount</u>

#1 Vendor Name: _____	Contact: _____
Address: _____	Phone #: _____
	Fax #: _____

Quantity	Description	Unit Price	Total
Total			\$

#2 Vendor Name: _____	Contact: _____
Address: _____	Phone #: _____
	Fax #: _____

Quantity	Description	Unit Price	Total
Total			\$

#3 Vendor Name: _____	Contact: _____
Address: _____	Phone #: _____
	Fax #: _____

Quantity	Description	Unit Price	Total
Total			\$

Comments or explanation if lowest quote not accepted: _____

Delivery Location: _____



CITY OF BATAVIA PROPERTY DISPOSAL / TRANSFER FORM
Disposal of Property under \$1,000.00

Dept / Bureau: _____ Description of Property: _____
(Make, Model, Serial No., Year, etc.)

Method of Disposal: _____ Estimated Value: _____

I hereby authorize disposal of the aforementioned Surplus Public Property:

Signature of Dept / Bureau Director Date

City Manager Date

Date of Disposal: _____ Purchaser: _____ Amount Received: _____
(If applicable) (If applicable)

Signature of Dept / Bureau Director Date

Transfer of Property

Transferring Property From: _____ Transferring Property To: _____ Description of Property: _____
(Dept./Bureau) (Dept./Bureau/Agency) (Make, Model, Serial No.)

Signature of Dept / Bureau Transferring Property Date

Signature of Dept./Bureau/Agency Receiving Property Date

Upon completion please retain a copy and submit the original form to the City Manager's Office.

City of Batavia
Travel Authorization Form
To be completed and approved prior to travel event.

Today's Date: _____	
Employee Name: _____	
Department: _____	Ext.: _____

Destination: _____

Reason: _____

Date and time of travel: _____

Duration: _____

Other employees attending: _____

Method of travel:

Air travel City vehicle Personal vehicle

Rental vehicle

Employee signature: _____ Date: _____

<u>Approval</u>	
_____ Department Head/Bureau Chief Signature	_____ Date
Note: Please attach signed approval to vouchers and/or invoices relevant to this travel event.	



Exemption Certificate

Tax on occupancy of hotel or motel rooms

This form may only be used by government employees of the United States, New York State, or political subdivisions of New York State.

Name of hotel or motel		Dates of occupancy		
		From:	To:	
Address (number and street)		City	State	ZIP code
				Country

Certification: I certify that I am an employee of the department, agency, or instrumentality of New York State, the United States government, or the political subdivision of New York State indicated below; that the charges for the occupancy of the above business on the dates listed have been or will be paid for by that governmental entity; and that these charges are incurred in the performance of my official duties as an employee of that governmental entity. I certify that the above statements are true, complete, and correct, and that no material information has been omitted. I make these statements and issue this exemption certificate with the knowledge that this document provides evidence that state and local sales or use taxes do not apply to a transaction or transactions for which I tendered this document, and that willfully issuing this document with the intent to evade any such tax may constitute a felony or other crime under New York State Law, punishable by a substantial fine and a possible jail sentence. I understand that the vendor is a trustee for, and on account of, New York State and any locality with respect to any state or local sales or use tax the vendor is required to collect from me; that the vendor is required to collect such taxes from me unless I properly furnish this certificate to the vendor; and that the vendor must retain this certificate and make it available to the Tax Department upon request. I also understand that the Tax Department is authorized to investigate the validity of tax exemptions claimed and the accuracy of any information entered on this document.

Governmental entity (federal, state, or local)		Agency, department, or division		
Employee name (print or type)	Employee title	Employee signature	Date prepared	

Instructions

Who may use this certificate

If you are an employee of an entity of New York State or the United States government and you are on official New York State or federal government business and staying in a hotel or motel, you may use this form to certify the exemption from paying state-administered New York State and local sales taxes (including the \$1.50 hotel unit fee in New York City). This **does not** include locally imposed and administered hotel occupancy taxes, also known as *local bed taxes*.

New York State governmental entities include any of its agencies, instrumentalities, public corporations, or political subdivisions.

Agencies and instrumentalities include any authority, commission, or independent board created by an act of the New York State Legislature for a public purpose. Examples include:

- New York State Department of Taxation and Finance
- New York State Department of Education

Public corporations include municipal, district, or public benefit corporations chartered by the New York State Legislature for a public purpose or in accordance with an agreement or compact with another state. Examples include:

- Empire State Development Corporation
- New York State Canal Corporation
- Industrial Development Agencies and Authorities

Political subdivisions include counties, cities, towns, villages, and school districts.

The United States of America and its agencies and instrumentalities are also exempt from paying New York State sales tax. Examples include:

- United States Department of State
- Internal Revenue Service

Other states of the United States and their agencies and political subdivisions **do not** qualify for sales tax exemption. Examples include:

- the city of Boston
- the state of Vermont

To the government representative or employee renting the room

Complete all information requested on the form. Give the completed Form ST-129 to the operator of the hotel or motel upon check in or when you are checking out. You must also provide the operator with proper identification. Sign and date the exemption certificate. You may pay your bill with cash, with a personal check or personal credit card, with a government voucher, or with a government credit card.

Note: If, while on official business, you stay at more than one location, you must complete an exemption certificate for each location. If you are in a group traveling on official business, each person must complete a separate exemption certificate and give it to the hotel or motel operator.

To the hotel or motel operator

Keep the completed Form ST-129 as evidence of exempt occupancy by New York State and federal government employees who are on official business and staying at your place of business. The certificate should be presented to you when the occupant checks in or upon checkout. The certificate must be presented no later than 90 days after the last day of the first period of occupancy. If you accept this certificate after 90 days, you have the burden of proving the occupancy was exempt. You must keep this certificate for at least three years after the later of:

- the due date of the last sales tax return to which this exemption certificate applies; or
- the date when you filed the return

This exemption certificate is valid if the government employee is paying with:

- cash
- personal check or credit/debit card
- government voucher
- government credit card

Do not accept this certificate unless the employee presenting it shows appropriate and satisfactory identification.

Substantial penalties will result from misuse of this certificate.

City of Batavia Cooperative Contract Due Diligence

Cooperative _____

Contract Name and No. _____

Vendor(s) Name(s) _____

Department completing this form _____

We have reviewed and completed due diligence on the aforementioned cooperative contract. As part of the due diligence review, we have confirmed that the contract complies substantially with our procurement rules and practices. We have further confirmed that all purchases will comply with the terms and prices in the contract. It has been determined that it is in the best interest of the City of Batavia to utilize this contract for the reasons cited below:

Issue	Procurement Consideration
New York State Considerations:	
1. Was the contract let by the United States or any agency thereof, any state or any other political subdivision or district therein?	Y or N Who: _____
2. Does the contract contain wording making it available for use by other governmental entities?	Y or N
3. Was the public solicitation of bids advertised and were bids opened at the advertised date and time in a public forum?	Y or N
4. Was the submission of sealed bids, or analogous procedure, done in a manner to secure and preserve the integrity of the process and confidentiality of the bids submitted?	Y or N
5. Was the preparation of bid specifications, or a similar document that provides a common standard for bidders to compete fairly?	Y or N
6. Was the award to the lowest bidder who materially or substantially meets the bid specifications and is determined to be a responsible bidder?	Y or N
General Considerations:	
7. Were the terms, conditions and scope of work/specifications negotiable?	It should be noted here if terms or prices were negotiated
8. Does the cooperative contract provide the most advantageous solution? Why?	Factors may include advantageous terms, conditions, prices, quality, performance, timing, entity's experience and ability duplicate the contract, age of the contract, etc.
9. Will volume pricing advantages be applied to purchases?	Y or N

10. Did the cooperative or lead agency have the expertise, reputation and history of quality contracting for the good or service being procured?	Y or N
11. Was past experience with the cooperative or lead agency acceptable?	Y, N, or N/A
12. What is the age of the contract? How many years is it into its contract term?	

Signature

Printed Name

Date

#XX-201X
**RESOLUTION TO DECLARE DEPARTMENT OF _____ VEHICLES AND
EQUIPMENT SURPLUS FOR THE PURPOSE OF SALVAGE AND DISPOSAL**

Motion of Councilperson

WHEREAS, the Bureau of _____ has declared the vehicles and equipment listed below surplus and the cost of needed repairs exceeding the vehicle's value; and

WHEREAS, the City of Batavia requires a surplus declaration of property to be made prior to disposal or sale of vehicles;

NOW, THEREFORE, BE IT RESOLVED, by the City Council of the City of Batavia that the City Manager is authorized to declare the following as surplus for the purpose of salvage and disposal:

- Year, make model, and serial no.
- Same

**Seconded by Councilperson
and on roll call**

SAMPLE

#18-2012

**RESOLUTION AUTHORIZING THE ADOPTION OF A FUND BALANCE POLICY FOR THE CITY OF
BATAVIA, NEW YORK**

Motion of Councilperson

WHEREAS, a fund balance policy is a key element of ensuring long-term economic and financial stability; and

WHEREAS, the objective of the Governmental Accounting Standards Board (GASB) Statement No. 54 *“Fund Balance Reporting and Governmental Fund Type Definitions”* is to enhance the usefulness of fund balance information by providing clearer fund balance classifications and by clarifying governmental fund type definitions; and

WHEREAS, Statement No. 54 is effective for financial statements for periods beginning after June 15, 2010, and therefore is effective for the City’s 2011-2012 fiscal year ending April 1, 2012; and

WHEREAS, said fund balance policy has been reviewed and approved by the City’s Independent Auditor; and

NOW THEREFORE, BE IT RESOLVED, that the Batavia City Council of the City of Batavia, New York hereby authorizes the adoption of the attached Fund Balance Policy effective immediately; and

NOW, THEREFORE, BE IT FURTHER RESOLVED, that the adoption of the attached Fund Balance Policy is consistent with the City’s Strategic Plan in achieving Key Intended Outcome’s identified under the Financial Health strategic priority.

Seconded by Councilperson

and on roll call

City of Batavia Fund Balance Policy

I. Purpose

The City of Batavia recognizes that the maintenance of a fund balance is essential to the preservation of the financial integrity of the City, is fiscally responsible, helps mitigate current and future risks (e.g., revenue shortfalls and unanticipated expenditures) and assists in ensuring stable tax rates. This policy establishes goals and provides guidance concerning the desired level of year-end fund balance to be maintained by the City of Batavia.

II. Background

The Governmental Accounting Standards Board (GASB) issued GASB Statement No. 54, Fund Balance Reporting and Governmental Fund Type Definitions. Statement 54 abandons the reserved and unreserved classifications of fund balance and replaces them with five new classifications for Governmental Funds: non-spendable, restricted, committed, assigned and unassigned. GASB Statement No. 54 goes into effect for financial statements ending March 31, 2012.

III. Definitions

Fund balance is a measurement of available financial resources and represents the difference between total assets and total liabilities in each fund.

GASB Statement No. 54 distinguishes fund balance classifications based on the relative strength of the constraints that control the purposes for which specific amounts can be spent. Beginning with the most binding constraints, fund balance amounts will be reported by the following classifications:

Non-spendable – Consists of assets that are inherently nonspendable in the current period either because of their form or because they are legally or contractually required to be maintained intact, including prepaid items, inventories, long-term portions of loans receivable, financial assets held for resale, and principal of endowments.(e.g., principal of a permanent fund).

Restricted – Consists of amounts that are subject to externally enforceable legal purpose restrictions imposed by creditors, or laws and regulations of other governments; or through constitutional provisions or enabling legislation (e.g.grants, donations and established reserve funds).

Committed – Consists of amounts that are subject to a purpose constraint imposed by a formal action of the City’s highest level of decision-making authority before the end of the fiscal year, and the same level of formal action is required to remove the constraint.

Assigned – Consists of amounts that are intended to be used for a specific purpose established by the government’s highest decision-making authority, or by their designated body or official. Amounts cannot be assigned to a specific purpose if it would cause a deficit in the unassigned fund balance.

Unassigned – Represents the residual classification for the government’s general fund, and could report a surplus or a deficit. In funds other than the general fund, the unassigned classification should be used only to report a deficit balance resulting from overspending for the specific purposes for which amounts had been restricted, committed or assigned.

IV. Guidelines

The fund balance of the City’s General Fund has been accumulated to provide stability and flexibility and to respond to unexpected adversity and/or opportunities.

The City shall strive to attain and maintain an adequate fund balance in its general fund to provide flexibility and to mitigate current and future risks (e.g., revenue shortfalls and unanticipated expenditures), to ensure stable tax rates, to provide for one-time opportunities and to retain favorable credit ratings. The City will endeavor to maintain unassigned fund balances in its general fund of ten percent (10%) of regular general fund operating expenditures. This amount provides the liquidity necessary to accommodate the City’s uneven cash flow, which is inherent in its periodic tax collection schedule, and to respond to contingent liabilities.

If the unassigned fund balance falls below the 10% minimum fund balance percentage, the Audit Advisory Committee will evaluate current fund balance classifications in order to recommend the final distribution of fund balance in any fiscal year in consideration of estimated liabilities of the City and sound financial planning.

The actual level of fund balance in the City’s general fund is determined in its annual financial statement, several months after the end of the fiscal year. The City’s budgeting process, which culminates both in the establishment of the following year’s tax rate and the use of any appropriated fund balance, begins approximately two years in advance of the financial statement that will show the budget’s results. Because of this time lag and because of the uncertainties of the budgeting process

(such as the amounts of appropriated fund balance actually used each year), it is not possible to guarantee in advance a specific level of fund balance at the close of any fiscal year. Therefore, the City will use the following procedure to adjust the levels of fund balance, as necessary.

1. Once the external auditor has reviewed the City's financial statements for the prior year and has confirmed the fund balances of the general fund, the City Manager will recommend to the Audit Advisory Committee the amounts and types of assignments for the fund balance to be included in the financial statement.
2. The Audit Advisory Committee will review these assignments, discuss them with the external auditor as necessary and accept or modify the assignments prior to the presentation of the statement to the City Council.
3. The City Manager, as the Chief Executive and Administrative Officer, shall make recommendations regarding the use of fund balance to be appropriated in the following year's budget based on this policy; specifically, he/she shall recommend an amount that will, in his/her estimation, retain the requisite/appropriate level of fund balances established in this policy based on current budgetary constraints and opportunities.

V. Disbursement Policy for Fund Balances

The City Manager will assess the current financial condition of the City and then recommend to the City Council the order of application of expenditures to which fund balance classification will be charged related to restricted or unrestricted amounts spent when an expenditure is incurred for purposes for which both restricted and unrestricted amounts are available.

The City considers that committed amounts will be reduced first, followed by assigned amounts, and then unassigned amounts when expenditures are incurred for purposes for which amounts in any of those unrestricted fund balance classifications could be used.

VI. Fund Balance Classifications – Governmental Funds:

The following is a listing of the new classifications for the City's General Fund current reserves and designations:

Non-spending Fund Balance:

None

Restricted Fund Balance:

- Retirement contribution reserve (GML §6-r) – used for payment of “retirement contributions,” which are defined as all or any portion of the amount payable to either the New York State and Local Employees’ Retirement System or the New York State and Local Police and Fire Retirement System, pursuant to Sections 17 or 317 of the Retirement and Social Security Law.
- Reserve for employee benefits accrued liability (GML §6-p) – established for payment of accrued employee benefits due to an employee upon termination of the employee’s service. This includes payments for accrued leave time and benefits due to termination or separation from service and payments for professional services rendered in connection with the investigation or settlements of claims or judgments relating to accrued employee benefits. This reserve is evaluated based on the Compensated Absence liability analyzed annually by the City’s auditors.
- Insurance reserve (GML §6-n) – used for payment of health benefit claims and for the payment of costs for judgments, actions and claims against the City being the result of a self-assumed or uninsured occurrence, casualty or event of the type insurable by the City.
- Workers Comp reserve (GML 6-j) - used to pay compensation and benefits, medical, hospital or other expenses authorized by Workers Compensation Law and to pay the expenses of administering a self-insurance program.
- Capital projects reserve (GML §6-c) – used to pay the cost of construction, reconstruction or acquisition of a type of capital improvement or equipment. Capital reserves are evaluated based on the status of capital projects, capital improvement plans and equipment replacement plans.
- Reserve for repairs (GML §6-d) – a Dwyer Stadium Repair Reserve Fund was established for the purpose of replacing or making major repairs to capital improvements and equipment for Dwyer Stadium, or supplement other available moneys, by gift, grant from the State of New York, or from any other source, for replacing or making major repairs to capital improvements and equipment for Dwyer Stadium
- Designated for special projects – restricted by the State of New York – represents accumulated profits earned as a result of Emergency Medical Service training, provided by the City’s fire department, whose use is restricted for the purposes of purchasing supplies, materials and equipment that will benefit future Emergency Medical training sessions.

Committed Fund Balance:

None

Assigned Fund Balance:

Reserved for Encumbrances – represents the amount of outstanding encumbrances at the end of the fiscal year.

Unassigned Fund Balance:

Undesignated fund balance – remaining fund balance that has not been designated or reserved.

VII. Reference(s)

- Governmental Accounting Standards Board (GASB) Statement No. 54
- New York State General Municipal Law
- Office of the New York State Comptroller, Local Government Management Guide, Reserve Funds
- Office of the New York State Comptroller, November 2010 memo – Fund Balance Reporting and Governmental Fund Type Definitions

City of Batavia Investment Policy

I. Scope

This investment policy applies to all money and other financial resources available to the City of Batavia for deposit and/or investment on its own behalf or on behalf of any other entity or individual.

II. Objective

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

1. To conform with all applicable federal, State and other legal requirements (legality)
2. To adequately safeguard principal (safety)
3. To provide sufficient liquidity to meet all operating requirements (liquidity)
4. To obtain a reasonable rate of return (yield)

III. Delegation of Authority

The governing board's responsibility for administration of the investment program is delegated to the City Manager who shall establish written procedures for the operation of the investment program consistent with these investment policies. Such procedures shall include internal controls to provide a satisfactory level of accountability based upon records incorporating the description and amounts of investments, the fund(s) for which they are held, the place(s) where kept, and other relevant information, including dates of sale or other dispositions and amounts realized. In addition, the internal control procedures shall describe the responsibilities and levels of authority for key individuals involved in the investment program.

IV. Prudence

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

Investments shall be made with prudence, diligence, skill, judgment, and care, under circumstances then prevailing, which knowledgeable and prudent persons acting in like capacity would use, not for speculation, but for investment, considering the safety and liquidity of the principal as well as the probable income to be derived.

All participants involved in the investment process shall refrain from personal business activity that could conflict or appear to conflict with the proper execution of the investment program, or which could impair their ability to make impartial investment decisions.

V. Diversification

It is the policy of the City of Batavia to diversify its deposits and investments by financial institution, by investment instrument, and by maturity scheduling.

The governing board shall establish appropriate limits for the amount of investments which can be made with each financial institution or dealer, and shall evaluate this listing at least annually.

VI. Internal Controls

It is the policy of the City of Batavia for all moneys collected by any officer or employee of the government to transfer those funds to the Clerk-Treasurer within one (1) day of receipt, or within the time period specified by law, whichever is shorter.

The City Manager is responsible for establishing and maintaining internal control procedures to provide reasonable, but not absolute, assurance that deposits and investments are safeguarded against loss from unauthorized use or disposition, that transactions are executed in accordance with management's authorization, properly recorded, and managed in compliance with applicable laws and regulations.

VII. Designation of Depositories

The banks and trust companies that are authorized for the deposit of moneys, and the maximum amount which may be kept on deposit at any time, are:

<u>Depository Name</u>	<u>Maximum Amount</u>	<u>Officer</u>
Bank of Castile	\$15,000,000	Jaime Sallome
First Niagara Bank	\$15,000,000	Kevin Dwyer
Bank of America	\$15,000,000	Timothy Clark
JP Morgan Chase	\$15,000,000	Pamela Thompson
Key Bank	\$15,000,000	Julie Holman
Manufacturers & Traders Trust Company	\$15,000,000	Mike Easton
Five Star Bank	\$15,000,000	Jane Scott
Edward Jones Investments	\$15,000,000	John Baldwin Jr.

VIII. Securing Deposits and Investments:

All deposits and investments at a bank or trust company, including all demand deposits, certificates of deposit and special time deposits (hereinafter, collectively, “deposits”) made by officers of the City of Batavia that are in excess of the amount insured under the provisions of the Federal Deposit Insurance Act shall be secured by:

1. A pledge of “eligible securities” with an aggregate “market value” (as provided in GML Section 10) that is at least equal to the aggregate amount of deposits by the officers. See Attachment A of this policy for a listing of “eligible securities”.
2. A pledge of a pro rata portion of a pool of eligible securities, having in the aggregate a market value at least equal to the aggregate amount of deposits from all such officers within the State at the bank or trust company
3. An “eligible surety bond” payable to the government for an amount at least equal to 100% of the aggregate amount of deposits and the agreed-upon interest, if any, executed by an insurance company authorized to do business in New York State, whose claims – paying ability is rated in the highest rating category by at least two nationally recognized statistical rating organizations. The governing board shall approve the terms and conditions of the surety bond.
4. An “irrevocable letter of credit” issued in favor of the City of Batavia by a federal home loan bank whose commercial paper and other unsecured short-term debt obligations are rated in the highest rating category by at least one nationally recognized statistical rating organization, as security for the payment of 100% of the aggregate amount of deposits and the agreed-upon interest, if any.

IX. Collateralization and Safekeeping

Eligible securities used for collateralizing deposits made by officers of the City of Batavia shall be held by (the depository or a third party) bank or trust company subject to security and custodial agreements.

The security agreement shall provide that eligible securities (or the pro rata portion of a pool of eligible securities) are being pledged to secure such deposits together with agreed-upon interest, if any, and any costs or expenses arising out of the collection of such deposits upon a default. It shall also provide the conditions under which the securities (or pro rata portion of a pool of eligible securities) may be sold, presented for payment, substituted or released and the events which will enable the local government to exercise its rights against the pledged securities.

In the event that the pledged securities are not registered or inscribed in the name of the City of Batavia, such securities shall be delivered in a form suitable for transfer or with an assignment in blank to the City of Batavia or the custodial bank or trust company. Whenever eligible securities delivered to the custodial bank or trust company are

transferred by entries on the books of a federal reserve bank or other book-entry system operated by a federally regulated entity without physical delivery of the evidence of the obligations, then the records of the custodial bank or trust company shall be required to show, at all times, the interest of the government in the securities (or the pro rata portion of a pool of eligible securities) as set forth in the security agreement.

The custodial agreement shall provide that pledged securities (or the pro rata portion of a pool of eligible securities) will be held by the bank or trust company as agent of, and custodian for, the City of Batavia, will be kept separate and apart from the general assets of the custodial bank or trust company and will not be commingled with or become part of the backing of any other deposit or other bank liability. The agreement shall also describe how the custodian shall confirm the receipt, substitution, or release of the collateral and it shall provide for the frequency of revaluation of collateral by the custodial bank or trust company and for the substitution of collateral when a change in the rating of a security causes ineligibility. The security and custodial agreements shall also include all other provisions necessary to provide the City of Batavia with a perfected security interest in the eligible securities and to otherwise secure the local government's interest in the collateral, and may contain other provisions that the governing board deems necessary.

X. Permitted investments

As provided by General Municipal Law Section 11, the City of Batavia authorizes the City Manager to invest moneys not required for immediate expenditure for terms not to exceed its projected cash flow needs in the following types of investments:

- Special time deposit accounts in, or certificates of deposit issued by, a bank or trust company located and authorized to do business in the State of New York
- Obligations of the United States of America
- Obligations guaranteed by agencies of the United States of America, where the payment of principal and interest are guaranteed by the United States of America
- Obligations of the State of New York
- Obligations of the City of Batavia, but only with moneys in a reserve fund established pursuant to General Municipal Law Section 6-c, 6-d, 6-e, 6-f, 6-g, 6-h, 6-j, 6-k, 6-l, 6-m, or 6-n.

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

will be needed to meet expenditures for which the moneys were obtained, and shall be secured as provided in Sections VIII and IX herein.

Except as may otherwise be provided in a contract with bondholders or noteholders, any moneys of the City of Batavia authorized to be invested may be commingled for investment purposes, provided that any investment of commingled moneys shall be payable or redeemable at the option of the City of Batavia within such time as the proceeds shall be needed to meet expenditures for which such moneys were obtained, or as otherwise specifically provided in General Municipal Law Section 11. The separate identity of the sources of these funds shall be maintained at all times and income received shall be credited on a pro rata basis to the fund or account from which the moneys were invested.

Any obligation that provides for the adjustment of its interest rate on set dates is deemed to be payable or redeemable on the date on which the principal amount can be recovered through demand by the holder.

XI. Authorized financial institutions and dealers

All financial institutions and dealers with which the City of Batavia transacts business shall be creditworthy, and have an appropriate level of experience, capitalization, size, and other factors that make the financial institution or the dealer capable and qualified to transact business with the City of Batavia. The City Manager shall evaluate the financial position and maintain a listing of proposed depositories, trading partners, and custodians. Recent Reports of Condition and Income (call reports) shall be obtained for proposed banks, and security dealers that are not affiliated with a bank shall be required to be classified as reporting dealers affiliated with the New York Federal Reserve Bank, as primary dealers.

The City of Batavia shall maintain a list of financial institutions and dealers approved for investment purposes, and establish appropriate limits to the amounts of investments that can be made with each financial institution or dealers.

XII. Purchase of investments

The City Manager is authorized to contract for the purchase of investments:

1. Directly, from an authorized trading partner
2. By participation in a cooperative investment agreement with other authorized municipal corporations pursuant to article 5-G of the General Municipal Law and in accordance with Article 3-A of the General Municipal Law.

All purchased obligations, unless registered or inscribed in the name of the local government, shall be purchased through, delivered to and held in the custody of a bank or trust company. Such obligations shall be purchased, sold, or presented for redemption or payment by such bank or trust company only in accordance with prior written authorization from the officer authorized to make the investment. All such transactions shall be confirmed in writing to the City of Batavia by the bank or trust company.

Any obligation held in the custody of a bank or trust company shall be held pursuant to a written custodial agreement as described in General Municipal Law Section 10(3)(a). The agreement shall provide that securities held by the bank or trust company, as agent of, and custodian for, the City of Batavia, will be kept separate and apart from the general assets of the custodial bank or trust company and will not be commingled with or become part of the backing of any other deposit or other bank liability. The agreement shall also describe how the custodian shall confirm the receipt and release of the securities. Such agreement shall include all provisions necessary to secure the local government's perfected interest in the securities, and the agreement may also contain other provisions that the governing board deems necessary. The security and custodial agreements shall also include all other provisions necessary to provide the City of Batavia with a perfected interest in the securities.

The City Manager can direct the bank or trust company to register and hold the evidences of investments in the name of its nominee, or may deposit or authorize the bank or trust company to deposit, or arrange for their deposit with a federal reserve bank or other book-entry transfer system operated by a federally regulated entity. The records of the bank or trust company shall show, at all times, the ownership of such evidences of investments, and they shall be, when held in the possession of the bank or trust company, at all times, kept separate from the assets of the bank or trust company. All evidences of investments delivered to a bank or trust company shall be held by the bank or trust company pursuant to a written custodial agreement as set forth in General Municipal Law Section 10(3)(a), and as described earlier in this section. When any such evidences of investments are so registered in the name of a nominee, the bank or trust company shall be absolutely liable for any loss occasioned by the acts of such nominee with respect to such evidences of investments.

XIII. Courier service

The City Manager may, subject to the approval of the governing board by resolution, enter into a contract with a courier service for the purpose of causing the deposit of public funds with a bank or trust company. The courier service shall be required to obtain a surety bond for the full amount entrusted to the courier, payable to the City of Batavia and executed by an insurance company authorized to do business in the State of New York, with a claims-paying ability that is rated in the highest rating category by at least two nationally recognized statistical rating organizations, to insure against any loss of

public deposits entrusted to the courier service for deposit or failure to deposit the full amount entrusted to the courier service.

The City of Batavia may agree with the depository bank or trust company that the bank or trust company will reimburse all or part of, but not more than, the actual cost incurred by the City of Batavia in transporting items for deposit through a courier service. Any such reimbursement agreement shall apply only to a specified deposit transaction, and may be subject to such terms, conditions and limitations as the bank or trust company deems necessary to ensure sound banking practices, including, but not limited to, any terms, conditions or limitations that may be required by the banking department or other federal or State authority.

XIV. Annual review and amendments

The City of Batavia shall review this investment policy annually, and it shall have the power to amend this policy at any time.

XV. Definitions

The terms “public funds”, “public deposits”, “bank”, “trust company”, “eligible securities”, “eligible surety bond”, and “eligible letter of credit” shall have the same meanings as set forth in General Municipal Law Section 10.

XVI. Reference(s)

- City of Batavia Charter
- New York State General Municipal Code

XVII. Attachment(s)

- Attachment A – Schedule of Eligible Securities

Original Author: Lisa Neary, Deputy Director of Finance

Heidi Parker, Clerk/Treasurer

Date Revised/ Adopted	4/11/11	2/27/12	3/11/13	2/19/14	
Revised by		L Neary	L Neary	L Neary	

Attachment A

Schedule of Eligible Securities

- (i) Obligations issued by the United States of America, an agency thereof or a United States government sponsored corporation or obligations fully insured or guaranteed as to the payment of principal and interest by the United States of America, an agency thereof or a United States government sponsored corporation.
- (ii) Obligations issued or fully guaranteed by the International Bank for Reconstruction and Development, the Inter-American Development Bank, the Asian Development Bank, and the African Development Bank.
- (iii) Obligations partially insured or guaranteed by any agency of the United States of America, at a proportion of the market value of the obligation that represents the amount of the insurance or guaranty.
- (iv) Obligations issued or fully insured or guaranteed by this state, obligations issued by a municipal corporation, school district or district corporation of this state or obligations of any public benefit corporation which under a specific state statute may be accepted as security for deposit of public moneys.
- (v) Obligations issued by states (other than this state) of the United States rated in one of the three highest rating categories by at least one nationally recognized statistical rating organization.
- (vi) Obligations of Puerto Rico rated in one of the three highest rating categories by at least one nationally recognized statistical rating organization.
- (vii) Obligations of counties, cities and other governmental entities of another state having the power to levy taxes that are backed by the full faith and credit of such governmental entity and rated in one of the three highest rating categories by at least one nationally recognized statistical rating organization.
- (viii) Obligations of domestic corporations rated in one of the two highest rating categories by at least one nationally recognized statistical rating organization.
- (ix) Any mortgage related securities, as defined in the Securities Exchange Act of 1934, as amended, which may be purchased by banks under the limitations established by federal bank regulatory agencies.

- (x) Commercial paper and bankers' acceptances issued by a bank (other than the bank with which the money is being deposited or invested) rated in the highest short-term category by at least one nationally recognized statistical rating organization and having maturities of not longer than sixty days from the date they are pledged.

- (xi) Zero-coupon obligations of the United States government marketed as "Treasury STRIPS".