

RVILLAGE OF SARANAC LAKE

APRIL 14, 2025

ANNUAL MEETING, BOARD OF TRUSTEES, VILLAGE OF SARANAC LAKE, NY

An Organizational Meeting of the Board of Trustees of the Village of Saranac Lake, New York was held in the Village Board Room at 39 Main Street, Suite 9, Saranac Lake New York

Roll Call: Present: Mayor James Williams, Trustees: Sean Ryan and Matthew Scollin. Absent: Trustee Brunette and Trustee White

The Meeting was called to order by Mayor James Williams and everyone stood for the Pledge of Allegiance

1. Be it Resolved, the **REGULAR MEETINGS** of the Board be held on the second and fourth Mondays of the month at **5:00 pm**, except holidays, when the Meeting will be held the next business day as per the attached schedule.

Motion: Ryan Second: Scollin

Roll Call: Brunette absent; Ryan yes; Scollin yes; White absent; Williams yes.

2. Be it Resolved, each bill submitted to the Board of Trustees for consideration shall have its **SPONSOR'S NAME** affixed thereto. Said Sponsor(s) may be the Mayor, Trustees, or Village Manager.

Motion: Scollin Second: Ryan

Roll Call: Brunette absent; Ryan yes; Scollin yes; White absent; Williams yes.

3. Be it Resolved, The **SUBMISSION OF BILLS FOR CONSIDERATION** at regular meetings shall be made no later than noon on the Thursday before each regular Monday Meeting and that the regular Monday Meeting agenda be completed before the close of business on the Friday before each regular Monday meeting and be available for review by each member of the Board of Trustees. In the case the regular Monday meeting is changed due to holidays or board resolution, then the aforementioned submission and publication dates shall be adjusted accordingly.

Motion: Ryan Second: Scollin

Roll Call: Brunette absent; Ryan yes; Scollin yes; White absent; Williams yes.

4. Be it Resolved, **SPECIAL MEETINGS** shall be defined as those village board meetings that are not regularly scheduled in the organizational meeting and at which bills and actions are considered and/or voted upon by the board. These meetings shall only be called and held under the following conditions:

Emergency-Mayor. The Mayor, or in the Mayor's absence, the Deputy Mayor, may call a Special Meeting where the health, welfare or financial security of any part of the village is threatened by harm or loss. A 24-Hour notice is required for this type of Special Meeting.

Non-Emergency-Mayor. The Mayor, or in the Mayor's absence, the Deputy Mayor, may call a Special Meeting for the consideration and/or vote upon a bill or bills deemed worthy with a three day notice to all other Trustees.

Non-Emergency-Trustees. Two or more Trustees may call a Special Meeting for the consideration and/or vote upon on a bill or bills deemed worthy with a three day notice to all

other Trustees and Mayor. The same two trustees may not call for two special meetings in a row. All Village Board members must be notified of a special meeting and must confirm receipt of meeting notification.

Emergency-Village Manager. The Village Manager may call a Special Meeting where the health, welfare or financial security of any part of the village is threatened by harm or loss. A 24-hour notice is required for this type of Special Meeting.

Further: A vote at a Special Meeting shall require a minimum of three affirmative votes.

All meeting rules adopted in the Organizational Meeting shall apply to Special Meetings.

Motion: Scollin Second: Ryan

Roll Call: Brunette absent; Ryan yes; Scollin yes; White absent; Williams yes.

5. Be it Resolved, Resolutions **Advance Approval of Claims, Electronic Signatures, Mileage Allowance, Approval for Returned Check Charges, and Official Banking Facilities** be adopted, said resolutions are attached and made a permanent part of these minutes.

Motion: Ryan Second: Scollin

Roll Call: Brunette absent; Ryan yes; Scollin yes; White absent; Williams yes.

6. Be it Resolved, Resolution **PURCHASING POLICY, INVESTMENT POLICY, EMPLOYEE HANDBOOK, WORK PLACE VIOLENC POLICY, DRUG POLICY, and HARASSMENT AND ANTI-DISCRIMINATION POLICY** be adopted.

Motion: Scollin Second: Ryan

Motion to amend Workplace Violence Policy: Scollin Second: Ryan

Roll Call to amend: Brunette absent; Ryan yes; Scollin yes; White absent; Williams yes

Roll Call on amended: Roll Call: Brunette absent; Ryan yes; Scollin yes; White absent; Williams yes.

7. Be it Resolved, **APPOINTMENTS ARE SUBJECT TO AND CONSISTENT WITH BUDGETARY APPROPRIATIONS.**

Motion: Scollin Second: Ryan

Roll Call: Brunette absent; Ryan yes; Scollin yes; White absent; Williams yes.

8. Be it Resolved, the **ADIRONDACK DAILY ENTERPRISE** as the **OFFICIAL NEWSPAPER**

Motion: Scollin Second: Ryan

Roll Call: Brunette absent; Ryan yes; Scollin yes; White absent; Williams yes.

9. Mayor Williams appointed Trustee **Matthew Scollin** as **Deputy Mayor** for a one-year term.

10. Mayor Williams, with approval of the Board to nominate Tim Jackson as **Chairperson of the Development Board** for a term of one year.

Motion: Ryan Second: Scollin

Roll Call: Brunette absent; Ryan yes; Scollin yes; White absent; Williams yes.

11. Mayor Williams, with approval of the Board to nominate KT Stiles and Chris McClatchie as alternate Development Board members for a term of Five Years.

Motion: Scollin Second: Ryan

Roll Call: Brunette absent; Ryan yes; Scollin yes; White absent; Williams yes.

12. Mayor Williams, with approval of the Board to nominate **Ray Scollin** as **Health Officer** for a term of one year.

Motion: Williams Second: Ryan

Roll Call: Brunette absent; Ryan yes; Scollin yes; White absent; Williams yes.

13. Be it Resolved, Resolution **ACKNOWLEDGEMENT OF A CONFLICT OF INTEREST**, be adopted, said resolutions are attached and made permanent part of these minutes.

Motion: Scollin Second: Ryan

Roll Call: Brunette absent; Ryan yes; Scollin yes; White absent; Williams yes.

PUBLIC COMMENT: Mark Wilson 33 Petrova Funding and meeting with engineer

MOTION TO ADJOURN:

Mayor Williams asked for a motion to adjourn the annual meeting

Motion: Scollin Second: Ryan

Roll Call: Brunette absent; Ryan yes; Scollin yes; White absent; Williams yes.

Respectfully submitted, Amanda Hopf, Village Clerk

**NOTICE OF REGULAR MEETINGS
VILLAGE OF SARANAC LAKE BOARD OF TRUSTEES
2025-2026**

Please be advised that at the Annual Organizational Meeting of the Board of Trustees of the Village of Saranac Lake, it was determined by such Board that the Regular Meetings of the Board of Trustees will be held on the 2nd second and 4th fourth Mondays of each month at 5:00 PM, unless such a date is a legal holiday, in which event, the Meeting will be held on the next business day. The dates of these Meetings are listed below:

2025

April 14, 2025 Annual Meeting
April 14, 2025 Regular Meeting
April 28, 2025 Regular Meeting

May 12, 2025
May 27, 2025 (Tuesday because of the Holiday)

June 9, 2025
June 23, 2025

July 14, 2025
July 28, 2025

August 11, 2025
August 25, 2025

September 8, 2025
September 22, 2025

October 14, 2025 (Tuesday because of the Holiday)
October 27, 2025

November 10, 2025
November 24, 2025

December 8, 2025
December 22, 2025

2026

January 12, 2026
January 26, 2026

February 9, 2026
February 23, 2026

March 9, 2026
March 23, 2026

Meetings will be held at the **Village Office, 39 Main Street, Saranac Lake, New York** unless otherwise specified. All open sessions of the meetings will begin at **5:00 pm**. Executive Sessions will be scheduled and entered into from a properly noticed and convened public meeting.

In advising you of this schedule, we are complying with Article 7 of the General Municipal Law relating to open meetings.

Amanda Hopf, Village Clerk 518-891-4150 ext 202 clerk@saranaclakeny.gov

2025-2026 MONTHLY SCHEDULE FOR AUDITING VOUCHERS:

April 2025	Trustee Brunette
May 2025	Trustee Scollin
June 2025	Trustee Ryan
July 2025	Trustee White
August 2025	Trustee Brunette
September 2025	Trustee Scollin
October 2025	Trustee Ryan
November 2025	Trustee White
December 2025	Trustee Brunette
January 2026	Trustee Scollin
February 2026	Trustee White
March 2026	Trustee Ryan

Be it Resolved, each bill submitted to the Board of Trustees for consideration shall have its **SPONSORS NAME** affixed thereto. Said Sponsor(s) may be the Mayor, Trustees, or Village Manager.

Be it Resolved, the **SUBMISSION OF BILLS FOR CONSIDERATION** at regular board meetings shall be made no later than noon on the Thursday before each regular Monday Meeting and that the regular Monday Meeting agenda be completed before the close of business on the Friday before each regular Monday meeting and be available for review by each member of the Board of Trustees. In the case the regular meeting is changed due to holidays or board resolution, then the aforementioned submission and publication dates shall be adjusted accordingly.

Be it Resolved, **SPECIAL MEETINGS** shall be defined as those village board meetings that are not regularly scheduled in the organizational meeting and at which bills and actions are considered and/or voted upon by the board. These meetings shall only be called and held under the following conditions:

Emergency-Mayor. The Mayor, or in the Mayor's absence, the Deputy Mayor, may call a Special Meeting where the health, welfare or financial security of any part of the village is threatened by harm or loss. A 24-Hour notice is required for this type of Special Meeting.

Non-Emergency-Mayor. The Mayor, or in the Mayor's absence, the Deputy Mayor, may call a Special Meeting for the consideration and/or vote upon a bill or bills deemed worthy with a three day notice to all other Trustees.

Non-Emergency-Trustees. Two or more Trustees may call a Special Meeting for the consideration and/or vote upon on a bill or bills deemed worthy with a three day notice to all other Trustees and Mayor. The same two trustees may not call for two special meetings in a row. All Village Board members must be notified of a special meeting, and must confirm receipt of meeting notification.

Emergency-Village Manager. The Village Manager may call a Special Meeting where the health, welfare or financial security of any part of the village is threatened by harm or loss. A 24-hour notice is required for this type of Special Meeting.

Further: A vote at a Special Meeting shall require a minimum of three affirmative votes.

All meeting rules adopted in the Organizational Meeting shall apply to Special Meetings.

**PUBLIC COMMENT
PERIOD OF MEETINGS**

1. **Anyone may speak to the Village Board of Trustees during the public comment periods of a public hearing or the public comment periods of the meeting.**
2. **As a courtesy, we ask those participating in public comment to introduce themselves.**
3. **Individual public comment is limited to 5 minutes and may be shortened by the meeting chairperson if not respectful and productive in manner.**
4. **When a meeting is attended by a group of people who share the same or opposing views on a public comment topic, the chair may require that the group(s) designate not more than two spokespersons and limit the total time public comment to 5 minutes for each point of view or side of an issue.**
5. **Individual time may not be assigned/given to another.**
6. **A public hearing is meant to encourage comment and the expression of opinion, not a direct debate, nor should a commenter be intimidated by a village board member. Should a village response be asked, The Village Board of Trustees may offer explanation or information to the public at that time. They also reserve the right to request the individual leave contact information with the Clerk to receive a more researched answer at a later time.**
7. **Individuals requesting response from the village board, not offered during the meeting, may be contacted by phone, email, letter, or request for in-person meeting.**
8. **All remarks shall be addressed to the board as a body and not to any individual member thereof.**
9. **Interested parties or their representatives may address the board at any time by written or electronic communications.**
10. **Speakers shall observe the commonly accepted rules of courtesy, decorum, dignity and good taste.**
11. **Village Board members are offered a 5-minute grace period for meeting start. If board member is more than 5 minutes late to the meeting, they will forfeit their right to participate and vote during the meeting.**
12. **While electronic devices are necessary for viewing documents and time keeping, as a courtesy to the public and fellow board members, Village Board Members must refrain from texting, e-mailing, and instant messaging during Board Meetings, except in the case of family emergencies.**

Please note- During the course of regular business, discussion and commentary is limited to board members and village staff only. We ask for this courtesy, for the board and staff to conduct their business and discussion without interruption. All village board members and staff are available after the conclusion of a meeting for one on one discussion.

ADVANCE APPROVAL OF CLAIMS

WHEREAS, the Board of Trustees of Saranac Lake has determined to authorize payment in advance of audit claims for public utility services, postage, freight and express charges; and

WHEREAS, all such claims shall be presented at the next regular meeting for audit; and

WHEREAS, the claimant and officer incurring or approving the same shall be jointly and severally liable for any amount disallowed by the Board of Trustees,

NOW THEREFORE BE IT RESOLVED:

Section 1: That the Board of Trustees authorizes payment in advance of audit claims for public utility services, postage, freight and express charges and all such claims shall be presented at the next regular meeting for audit and the claimant and officer incurring or approving the same shall be jointly and severally liable for any amount disallowed by the Board of Trustees.

Section 2: That this resolution shall take effect immediately.

ELECTRONIC SIGNATURES

Whereas, the Treasurer of the Village of Saranac Lake, being the Chief Fiscal Officer has requested the approval of the signing of Village issued checks with AcuPrint ezSigner software for signatures of those officers authorized to sign checks, as reproduced by a machine or device such as a laser printer; and

Whereas, those officers authorized to sign checks are the Village Treasurer, the Village Clerk, the Village Manager and the Mayor; and

Whereas, Village Law §4-408c authorizes the Village Board of Trustees to approve such procedures by resolution;

Now Therefore Be It Resolved, that the Board of Trustees authorizes the use of the ez-Singer program for all Village issued checks,

Be It Further Resolved, that this resolution shall take effect immediately.

MILEAGE ALLOWANCE

WHEREAS, the Board of Trustees of Saranac Lake has will use the standard mileage rate set by the Internal Revenue Service for mileage as reimbursement to officers and employees of the Village who use their personal automobiles while performing their official duties on behalf of the Village;

NOW THEREFORE BE IT RESOLVED:

Section 1: That the Board of Trustees shall approve reimbursement to such officers and employees at the rate determined to pay by the Prevailing Internal Revenue Rate.

Section 2: That this resolution shall take effect immediately.

APPROVAL FOR RETURNED CHECK CHARGES

Whereas, Pursuant to §85 of the General Municipal Law, The Village of Saranac Lake will impose a service charge of twenty dollars (\$20.00) on all checks which are rendered for the payment of municipal taxes or other charges that are subsequently returned by a bank for insufficient funds or other reasons. The Village or its agents may collect the service charge in the same manner prescribed for the collection of the account for which the check was tendered. The village or its agents may also require future payments to be tendered in cash, certified check or cashier's check.

Now Therefore Be It Resolved, that the Board of Trustees authorizes the Village to levy a charge of \$20.00 for any check that is return to the Village for any reason.

Be It Further Resolved, that this resolution shall take effect immediately.

**DESIGNATION OF OFFICIAL BANKING FACILITIES FOR
THE VILLAGE OF SARANAC LAKE, NEW YORK**

The following resolution was adopted by the Board of Trustees, Village of Saranac Lake, New York, at the Annual Meeting held on April 14, 2025, at 5:30 pm in the Village Office, 39 Main Street, said Village, by motion of Trustee Ryan and seconded by Trustee Scollin and upon vote taken, the resolution was unanimously carried and so ordered.

WHEREAS, it is provided that the Trustees of the Village of Saranac Lake, New York, shall designate by written resolution, the bank(s) or trust companies in which the collector and treasurer shall deposit monies coming into his/her hands by virtue of his/her office.

NOW THEREFORE BE IT RESOLVED, that the following banks are hereby designated as depositories, in which the collector and treasurer shall deposit monies coming into his or her hands, by virtue of his or her office.

- COMMUNITY BANK, Saranac Lake Branch**
- NBT BANK, Saranac Lake Branch**
- ADIRONDACK BANK, Saranac Lake Branch**
- MBIA CLASS INVESTMENT PROGRAM, Armonk Branch**
- TD BANK, Plattsburgh Branch**
- JP MORGAN CHASE BANK, Albany Branch**
- CITIZENS BANK, Albany Branch**
- UNITED STATES TREASURY DEPT, Washington, DC**

BE IT FURTHER RESOLVED, this resolution shall take effect immediately.

yes _____, Mayor Williams
absent _____, Trustee Brunette
yes _____, Trustee Ryan
yes _____, Trustee Scollin
absent _____, Trustee White



VILLAGE OF SARANAC LAKE PURCHASING POLICY

ADOPTED APRIL 14, 2025

The question of the adoption of the foregoing resolution was duly put to a vote on April 14, 2025 roll call which resulted as follows:

Motion: Scollin, Second: Ryan.
Roll Call: Brunette absent; Ryan yes; Scollin yes; White absent; Williams yes.

I, Amanda Hopf, Village Clerk of the Village of Saranac Lake, Franklin County, New York, hereby certify that I have compared the preceding Resolution with the original thereof filed in my office and that the same is a true and correct copy of said original and of the whole thereof.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed the seal of the said Village of Saranac Lake this 14th day of April 2025.


Village Clerk

Table of Contents

I. Policy Statement..... 3

II. The Purchasing Process 3

III. Methods of Purchase..... 3

IV. County Contract..... 4

V. State Contracts 5

VI. Piggyback Contracts 5

VII. Purchasing Policies and Control..... 6

VIII. Sole Source 6

IX. Professional Services..... 6

X. Purchase Orders..... 7

**XI. Formal Sealed BIDS for commodities over \$20,000 and Public Works
Projects/Contracts over \$35,000..... 7**

XII. Request for Proposals (RFP) 8

XIII. BID Prices Submitted 8

XIV. Prevailing Wages 9

XV. Insurance..... 9

XVI. Security..... 9

XVII. Award of Contract..... 9

XVIII. Award to Other than the Lowest Responsible Dollar Offeror..... 10

XIX. Deliveries..... 11

XX. Invoicing and Payment..... 11

XXI. Gifts and Gratuities..... 11

XXII. Credit Cards 12

XXIII. Conclusion 12

VILLAGE OF SARANAC LAKE PURCHASING POLICY

I. POLICY STATEMENT

In accordance with the Village of Saranac Lake adopted procedures, the Purchasing Official is authorized to administer all purchasing activities with regard to materials, supplies, services and equipment. The primary function of the Purchasing Official is to ensure that the Village of Saranac Lake receives the best possible products and services that meet the needs of the requesting department at the lowest possible cost. In this document, unless otherwise noted, the term “political subdivision” applies to the Village of Saranac Lake in its entirety. The term Purchasing Official may also apply to an appropriate designee for whom the Purchasing Official oversees.

Rules governing purchasing and contract procedures were established under the concept of open competitive bidding as set forth by General Municipal Law (GML 103 and 104-b). Under this system, purchase awards are made to the lowest responsible vendor who meets the Village's specifications and is capable of delivering the service or product. These specifications and conditions are outlined in bid packages that are available to all interested vendors.

The Village of Saranac Lake encourages all segments of the business community to participate in its purchasing program.

The Purchasing Official coordinates vendor contracts and supervises the procurement process to ensure compliance with purchasing policies and procedures.

II. THE PURCHASING PROCESS

The Purchasing Official maintains a list of qualified vendors for solicitation of quotes and bids. If a vendor would like to apply to be on a vendor list, they can contact the Purchasing Official to have the company's name added to the Village of Saranac Lake Vendor Bid List.

III. METHODS OF PURCHASE

The following purchasing methods are used by the Village to acquire products, services and equipment:

PROCEDURE FOR THE PURCHASE OF COMMODITIES, EQUIPMENT OR GOODS

Dollar Limit		Procedure
\$1	\$2,499	At the discretion of the Purchasing Official
\$2,500	\$4,999	Documented telephone quotes from at least 3 separate vendors (if available)
\$5,000	\$20,000	Written quotes from at least 3 separate vendors (if available)
\$20,001 and up		Sealed bids in conformance with Municipal Law, Section 103

PROCEDURE FOR THE PURCHASE OF PUBLIC WORKS PROJECTS/CONTRACTS

Dollar Limit		Procedure
\$1	\$2,499	At the discretion of the Purchasing Official
\$2,500	\$4,999	Documented telephone quotes from at least 3 separate vendors (if available)
\$5,000	\$35,000	Written quotes from at least 3 separate vendors (if available)
\$35,001 and up		Sealed bids in conformance with Municipal Law, Section 103

A good faith effort shall be made to obtain the required number of proposals or quotations. If the purchaser is unable to obtain the required number of proposals or quotations, the purchaser will document the attempt made at obtaining the proposals including the vendors contacted and the reason no quote or proposal could be secured. In no event shall the failure to obtain the proposals be a bar to the procurement.

In the course of normal business, departments are authorized to secure quotes from vendors in accordance with the aforementioned fixed limits and purchasing policy. All quotes secured by individual departments are subject to review and the approval of the Purchasing Official. Vendors should take particular care when quoting prices to assure accuracy for quantities, units of measure, pricing and delivery terms. Telephone quotes should be provided the same day as requested if possible. A written, faxed or electronic quote for purchases is solicited by issuance of a "Request for Quote" form; the vendor should return this completed form within the designated time period. The Purchasing Official reviews quotes and selects the lowest quote meeting the Village requirements and specifications. The Village of Saranac Lake will accept quote responses via US Mail or similar delivery service, scanned quotes sent via email or by fax.

IV. COUNTY CONTRACT

County governing boards within New York State may make provision in county purchase contracts for political subdivisions and districts to piggy back off their contracts. That is to purchase materials, equipment and supplies under such contracts. These purchases must be in accordance with rules, adopted by the county board, that prescribe the conditions under which the purchases may be made (County Law, Section 408-a).

Pursuant to GML Section 103(3), purchases through the county are exempted from the competitive bidding requirements of GML Section 103.

V. STATE CONTRACTS

Pursuant to GML 104, political subdivisions are authorized to make purchases of materials, equipment and supplies (except printed material) through the NYS Office of General Services (OGS), subject to rules established by OGS (see State Finance Law, Section 163). GML Section 104 provides that purchases by political subdivisions are exempt from competitive bidding requirements. Note: No official may make a purchase through the OGS when bids have already been received unless the purchase may be made upon the same terms, conditions and specifications, but at a lower price, through OGS.

VI. PIGGYBACK CONTRACTS

The definition of a “Piggyback Contract” is a contract let by the United States or any agency thereof, any state or any other county, political subdivision or district therein. In order for the “Piggyback Contract” exclusion to apply, the contract must be let in a manner consistent with GML section 103 and made available for use by other governmental entities.

GML section 103 stipulates that three (3) prerequisites that *must* be met in order for a procurement to take place under this exception.

1. Contract must have been let by the United States or any agency thereof, any state or any other political subdivision or district therein.
2. Contract must have been “*made available for use by other governmental entities.*” This means the contract must have included language extending the terms and conditions of the contract to other governmental entities.
3. Contract must have been “let to the lowest responsible bidder or on the basis of best value in a manner consistent with GML 103.”

Due to the requirements of GML 103, each contract presented under this section of the Purchasing Policy must be individually evaluated on a case by case basis. Any proposed agency or political subdivision must have a due diligence assessment performed to ensure it is in compliance with GML. If the due diligence demonstrates compliance with GML 103, then a resolution must be presented to the Village Board that approves the purchase.

VII. PURCHASING POLICIES AND CONTROL

PLANNING

- A. **ANTICIPATE YOUR NEEDS:** Once you have established what you need, within the limitation of your budget, requisition these needs as far in advance as possible. The time element affords the Purchasing Official the opportunity to solicit competitive bids or quotes and get the best possible value.
- B. **EMERGENCIES:** An exception to the competitive bidding requirements exists for emergency situations. There are **three basic statutory criteria to be met** in order to fall within this exception.
1. The situation arises out of an accident or other unforeseen occurrence or condition.
 2. The circumstances affect public buildings, public property or the life, health, safety or property of the political subdivision's residents; and
 3. The situation requires immediate action, which cannot await competitive bidding.

In short, if you can foresee the need in the future, you should be able to follow the bid process.

VIII. SOLE SOURCE

Competitive bidding is not required under GML, Section 103 in those limited situations when a political subdivision, in the public interest, requires particular goods or services that uniquely serve the public interest, for which there is no substantial equivalent and, which are, in fact, available only from one source. In making these determinations the political subdivision should document, among other things, the unique benefits of the item as compared to the items available in the marketplace; that no other item provides substantially equivalent or similar benefits; and that, considering the benefits received, the cost of the item is reasonable, when compared to other products or services in the marketplace. In addition, the political subdivision should document that there is no possibility of competition for the procurement.

IX. PROFESSIONAL SERVICES

The courts have held that "professional services" are not contracts for public work, that phrase is used in the bidding statutes, and therefore not subject to competitive bidding procedures. Generally, professional services involve specialized expertise, use of professional judgment and/or a high degree of creativity. Among the services, which have been held to be exempt from competitive bidding under this exception are those of engineers, architects, land surveyors, attorneys, physicians and insurance brokers. To assist the Purchasing Official in selecting a vendor for professional services, in particular

where market rates for services may fluctuate, the use of a Request for Proposal or RFP, specifying the services requested is encouraged but not required.

X. PURCHASE ORDERS

- A. **REQUISITIONS:** In “**ALL**” instances and without exception, the requisition is to be entered and purchase orders are to be completed before a purchase is made. If the Chief Fiscal Officer receives any claims for materials, supplies or services for which no purchase order was issued, the Purchasing Official in conjunction with the Treasurer will have the authority to nullify the payment of such claim. Direct payment claim vouchers should be avoided.
- B. **CONFIRMING PURCHASE ORDERS:** Confirming Purchase Orders should be kept to a minimum and will only be approved provided they meet the Purchasing Guidelines and the amount available in the appropriate budget line. The Purchasing Official will not approve a confirming order, when the purchase is not justified, where the purchase is being made to circumvent established procedures.
- C. **BLANKET PURCHASE ORDERS:** Issued as requested to various vendors for purchase of those items considered to be of an immediate need or for the purpose of consolidating purchases. Such examples would be electric or telephone bills, etc. which involve on-going purchases. Blanket Purchase Orders must issue on a monthly basis.

XI. FORMAL SEALED BIDS FOR COMMODITIES OVER \$20,000 AND PUBLIC WORKS PROJECTS/CONTRACTS OVER \$35,000

All purchases of “like” commodities exceeding \$20,000, and public works projects/contracts of “similar scope” exceeding \$ 35,000 in the **aggregate** for all departments combined annually are acquired through this process.

Legal notices are published in local newspapers informing the public of the products or services being bid.

Bid packages are prepared with detailed specifications and conditions including items bid, units and total quantity desired, instructions for bidding, delivery information, bid opening dates and any special requirements for bidding.

Bid notices are faxed or scanned and mailed to Bid Services (companies in the business of informing prospective vendors of bids in their field of work). The bid packages are available for pickup at the Village of Saranac Lake Offices, and can be shipped by US Mail. Vendors can request shipping by a package service such as Fed Ex or UPS and will be shipped this way only at the vendors' expense.

The Vendor Bid Lists (those vendors who have picked up bid packages) shall not be released prior to a bid opening as this may adversely affect the bids received and/or encourage collusion, any requests received by a Village Department for this information will be directed to the Purchasing Official. No exceptions are made to this policy.

Any bids not arriving prior to the bid-opening deadline will be rejected and returned to the bidder unopened. Sealed bids are publicly opened and read at the time and place designated in the bid documents and legal notices. All information regarding the opening of a bid will be detailed within the bid specifications. All bid tabulations showing bid results are available for public inspection during regular business hours at the Village of Saranac Lake Offices.

Purchase orders and/or contracts are awarded to the lowest responsive and responsible bidder(s) meeting Village specifications.

The Village reserves the right to reject any and all bids or parts of bids when such rejection is in the best interest of the Village. The Village reserves the right to award all bids on an item-by-item or aggregate basis, whichever is deemed in the best interest of the Village.

XII. REQUEST FOR PROPOSAL (RFP)

Requests for proposals are traditionally used as a means of obtaining all types of professional services. A request for proposals and evaluation of proposals can consider price plus other factors such as experience, staffing, service areas, level of service, quality of service and professional reputation. The RFP involves making a request from various firms and then evaluating the proposals received.

XIII. BID PRICES SUBMITTED

The bid price submitted shall be exclusive of Federal and State taxes and must not include any tax for which the bidder may claim exemption because of doing business with the Village. All prices submitted must include all delivery charges to Village of Saranac Lake.

XIV. PREVAILING WAGES

Prevailing wages shall be paid for each contract to which the municipality may involve the employment of laborers, workmen or mechanics, as outlined in Article 8 of the New York State Labor Law.

XV. INSURANCE

The Village may require that insurance shall be procured with the specified coverage amounts required and an insurance declaration page and/or copy of the policy provided prior to a purchase order or payment. The declaration page or policy certificate provided must name "The Village of Saranac Lake" as an Additional Named Insured. In addition, if the service being provided is considered a "Professional Service" the Village may require that a "Certificate of Professional Liability" must be provided naming the Village of Saranac Lake as an Additional Named Insured.

XVI. SECURITY

If security is required, the bid invitation will indicate the kind and amount of security needed. Submitted bid packages will not be considered by the Village if the specified security is not enclosed.

The Village uses two types of security:

- A. **BID DEPOSIT: (Certified Check or Bid Bond):** The deposit must be for the amount specified in the bid invitation. The Deposit will be forfeited to the Village should the successful bidder fail to enter into a contract or to accept a purchase order. Bid Deposits are returned to the unsuccessful bidders by mail.
- B. **PERFORMANCE, LABOR AND MATERIAL BONDS:** These bonds may be required from a successful bidder on certain bids. The Village holds these bonds until all contract obligations are satisfactorily met. The bonds may be forfeited to the Village should the successful bidder fail to comply with the terms and conditions set forth in the specifications and the award. Bonds are to be made payable to the "The Village of Saranac Lake."

XVII. AWARD OF CONTRACT

Award of contract will be made to the lowest responsible qualified bidder whose proposal shall comply with all of the provisions required in the bid package. The Village reserves the right to waive any informality or to reject any or all proposals and may advertise for

new proposals, if in its opinion the best interest of the Village will be served. The Village may require any or all bidders to present evidence of experience, ability and financial standing as well as a statement as to the equipment, which they will have available for the execution of the contract. The Village, at its discretion, reserves the right to award a contract either on an item-by-item basis or as a total award of all items in combination.

XVIII. AWARD TO OTHER THAN THE LOWEST RESPONSIBLE DOLLAR OFFEROR

Whenever any contract is awarded to other than the lowest responsible dollar offeror, the reasons that such an award furthers the purpose of General Municipal Law § 104-b, as set forth herein above, shall be documented as follows:

Best Value. Notwithstanding anything else contained in this chapter to the contract, the Village of Saranac may award purchase contracts and service contracts that have been procured pursuant to competitive bidding or otherwise under General Municipal Law § 103(1) or this chapter by either the lowest responsible bidder standard or the best value standard.

- i. Definition.** “Best value” is defined in State Finance Law § 163 as, “the basis for awarding contracts for services to the offeror which optimizes quality, cost and efficiency, among responsive and responsible offerors.” For the purposes of this section, the Board of Trustees adopts the above definition of “best value” as may be modified from time to time by the State Legislature.
- ii. Applicability.** The best value standard may only be used for purchase contracts, which includes contracts for service work, but excludes any purchase contracts necessary for the completion of a public works contract pursuant to Article 8 of the Labor Law. When awarding contracts under the best value standard, the Village of Saranac Lake must consider the overall combination of quality, price, and other elements of the required commodity or service that in total are optimal relative to the needs of the Village of Saranac Lake. Use of the best value standard must rely, wherever possible, on objective and quantifiable analysis. The best value standard may identify as a quantitative factor whether offerors are small businesses or certified minority- or women-owned business enterprises as defined in New York Executive Law § 310.
- iii. Approval.** Use of the best value standard for the procurement of goods and services requires approval from the board. The board must also approve the factors to be considered when awarding contracts under this standard.

XIX. DELIVERIES

Deliveries to departments are to be completed between the hours of 8:00 AM and 4:00 PM unless otherwise specified on the purchase order.

All Bills of Lading are to include a complete "Ship To" address and purchase order numbers, as they appear on the purchase order received.

XX. INVOICING AND PAYMENT

To ensure prompt payment of a purchase order, invoices containing the proper information must be submitted to the "Ship To" address indicated on the purchase order.

Invoices must contain the Purchase Order number, quantities, and unit of measure and total prices as stated on the purchase order. Authorized Village representatives will issue no payments prior to receipt and acceptance of products and services.

The Village of Saranac Lake is exempt from paying all Sales Tax and Compensating Use Tax imposed by the State pursuant to N.Y.S. Tax Law 1116(A)(1). Upon request, a letter attesting to this fact will be executed and signed by the Village Treasurer as the Chief Fiscal Officer.

XXI. GIFTS AND GRATUITIES

Village policy prohibits acceptance of gifts at any time, other than advertising novelties. Employees must not become obligated to any supplier and shall not participate in any Village transaction from which they will benefit directly or indirectly.

XXII. Credit Cards

The Village of Saranac Lake authorizes a credit card for the Village Manager and the Village Accounts Payable personnel (two physical cards in total) for purchasing of the good and services, from the vendors that do not accept purchase orders.

The Village of Saranac Lake will obtain two credit cards from the financial institution in which it has established its account.

- i. Authorized Credit Card Users:
 - a) Primary: Village Manager
 - b) Secondary: Accounts Payable

Note: All issued credit cards will be in the custody of the designated cardholder, or filed in the possession of the Village Manager's office. Cardholder agreement will be drafted.

- ii. Each additional credit card for every additional designated cardholder must be approved by the Village Manager. The Village Manager must notify the Village Treasurer regarding the additional credit cardholder so that the Treasurer's monthly credit card payment audit is accurately conducted.

iii. Establish Credit Limits:

- a) \$25,000.00 per the designated credit cardholder.

iv. Purchasing Restrictions:

- a) In store purchase – Either the Village Manager or the Account Payable personnel has to be present (at the 'store'), at the time of conducting a sale.
- b) Online Purchase – The department heads, or an employee from the department assigned to an item purchasing request, per the department head's instructions, must get a hold of the Accounts Payable and the Accounts Payable personnel will complete the purchase, after all the necessary info for the purchase is provided to the Accounts Payable personnel (item website link, item quantity, shipping address, shipping type, etc.). Standardized form for submitting the order necessary info will be provided to the departments.
- c) It is understood that no personal use of the Village's credit card will be allowed. Any unauthorized expenditures to the issued credit cards will be the responsibility of the designated cardholder and must be reimbursed to the Village, by the designated cardholder immediately.
- d) Over the phone payments are not permitted.

Note: The Village Treasurer is authorized to limit the number credit card transaction per department, if needed.

XXIII. IN CONCLUSION

The intent of the Purchasing Policy of the Village of Saranac Lake is to provide guidance. It is not intended to be all inclusive since no single publication can be all encompassing or answer every question. Any question that cannot be answered by these guidelines should be directed to the Purchasing Official in writing. In the case of any matter not specifically addressed here, New York State General Municipal Law, section 103 and 104-B, will guide the Purchasing Official in making a determination.



VILLAGE OF SARANAC LAKE INVESTMENT POLICY

ADOPTED APRIL 14, 2025

The question of the adoption of the foregoing resolution was duly put to a vote on April 14th, 2025 roll call which resulted as follows:

Motion: Scollin, Second: Ryan.

Roll Call: Brunette ~~absent~~; Ryan yes; Scollin yes; White ~~absent~~; Williams yes.

I, Amanda Hopt, Village Clerk of the Village of Saranac Lake, Franklin County, New York, hereby certify that I have compared the preceding Resolution with the original thereof filed in my office and that the same is a true and correct copy of said original and of the whole thereof.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed the seal of the said Village of Saranac Lake this 14th day of April 2025.

Village Clerk

Table of Contents

I.	Scope	2
II.	Objectives	2
III.	Delegation of Authority.....	2
IV.	Prudence	2
V.	Diversification.....	3
VI.	Internal Controls.....	3
VII.	Designation of Depositories	3
VIII.	Securing Deposits and Investments.....	3
IX.	Collateralization and Safekeeping.....	4
X.	Permitted Investments	5
XI.	Authorized Financial Institutions and Dealers	6
XII.	Purchase of Investments	6
XIII.	Operations, Audit and Reporting	7
XIV.	Appendix A- Designation and Limits of Depositories	8
XV.	Appendix B- Schedule of Eligible Securities.....	9

VILLAGE OF SARANAC LAKE INVESTMENT POLICY

I. SCOPE

This Investment Policy applies to all moneys and other financial resources available for deposit and investment by the Village of Saranac Lake on its own behalf or on behalf of any other entity or individual.

II. OBJECTIVES

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

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 Saranac Lake Village Treasurer as the Chief Fiscal Officer, or other officer so designated having custody of money, 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 for the Village of Saranac Lake to govern effectively.

Investments shall be made with judgement 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 of the principal as well as the probable income to be derived.

All participants involved in the investment process shall refrain from personal business activity that could conflict with proper execution of the investment program, or which could impair their ability to make impartial investment decisions.

V. DIVERSIFICATION

It is the policy of the Village of Saranac Lake to diversify its deposits and investments by financial institution, by investment instrument, and by maturity scheduling.

The Chief Fiscal Officer will recommend appropriate investment limits which can be made with each financial institution or dealer, annually to Village of Saranac Lake Board of Trustees. This recommendation will be provided as part of the "*Designation of Depositories*."

VI. INTERNAL CONTROLS

It is the policy of the Village of Saranac Lake for all moneys collected by any officer or employee of the government to transfer those funds to the Chief Fiscal Officer, or other officer so designated having custody of money, within 5 days of deposit or within the time period specified in law, whichever is shorter.

The Chief Fiscal Officer, or other officer so designated having custody of money, 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 will be updated annually and presented as *Appendix A* of this Investment Policy.

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 officials of the Village of Saranac Lake that are in excess of the amount insured under the provisions of the Federal Deposit Insurance Act shall be secured by:

A pledge of "eligible securities" with an aggregate "market value" (as provided by GML Section 10) that is at least equal to the aggregate amount of deposits by the officers.

See Appendix B of this policy for a listing of "eligible securities." This will be the only standing and acceptable form of collateralization not requiring further action by the Village of Saranac Lake Board of Trustees beyond the annual adoption of this Investment Policy.

An "eligible surety bond" payable to the government for an amount at least equal to 100 percent 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 Chief Fiscal Officer will make recommendations to the Village of Saranac Lake Board of Trustees to approve the terms and conditions of any surety bond related to collateralization of public funds.

An eligible "irrevocable letter of credit" issued by a qualified bank other than the bank with the deposits in favor of the government for a term not to exceed 90 days with an aggregate value equal to 140% of the aggregate amount of deposits and the agreed upon interest, if any. A qualified bank is one whose commercial paper and other unsecured short-term debt obligations are rated in one of the three highest rating categories by at least one nationally recognized statistical rating organization or by a bank that is in compliance with applicable Federal minimum risk-based capital requirements. This option may only be used upon recommendation of the Chief Fiscal Officer to the Village of Saranac Lake Board of Trustees and requires the approval of the Village of Saranac Lake Board of Trustees at that time.

IX. COLLATERALIZATION AND SAFEKEEPING

Eligible securities used for collateralizing deposits shall be held by a third-party bank or trust company subject to security and custodial agreements.

The security agreement shall provide that eligible securities are being pledged to secure the Village of Saranac Lake's 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 may be sold, presented for payment, substituted or released and the events which will enable the local government to exercise its rights against the pledged securities. In the event that the securities are not registered or inscribed in the name of the Village of Saranac Lake, such securities shall be delivered in a form suitable for transfer to the Village of Saranac Lake or its custodial bank.

The custodial agreement shall provide that pledged securities held by the bank or trust company as agent of, and custodian for, the Village of Saranac Lake, 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 deposits or other bank liabilities. The agreement shall also describe how the custodian shall confirm the receipt, substitution, or release of eligible securities.

The agreement shall provide for the frequency of revaluation of eligible securities and for the substitution of eligible securities when a change in the rating of a security causes it to be ineligible. Such agreement shall include all provisions necessary to provide the Village of Saranac Lake a perfected interest in the securities.

X. PERMITTED INVESTMENTS

As authorized by General Municipal Law Section 11, the Village of Saranac Lake Board of Trustees authorizes the Village Treasurer as the Chief Fiscal Officer, or other officer so designated having custody of money, to invest moneys not required for immediate expenditure for terms not to exceed its projected cash flow needs in the following types of investments:

1. Time deposit accounts held by a bank or trust authorized to do business in New York State;
2. NOW Accounts held by a bank or trust authorized to do business in New York State;
3. Certificates of Deposit;
4. Obligations of the United States of America;
5. 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;
6. Obligations of the State of New York;
7. Obligations issued pursuant to Local Finance Law Section 24.00 or 25.00 (with approval of the State Comptroller by any municipality, school district or district corporation in the State of New York other than the Village of Saranac Lake);
8. Obligations of the Village of Saranac Lake, 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 Village of Saranac Lake within such times as the proceeds will be needed to meet expenditures for purposes which the moneys were provided and, in the case of obligations purchased with the proceeds of bonds or notes, shall be payable or redeemable

at the option of the Village of Saranac Lake within two years of the date of purchase. The designated depository will confirm all purchases and transactions in writing to the Village of Saranac Lake.

XI. AUTHORIZED FINANCIAL INSTITUTIONS AND DEALERS

All financial institutions and dealers with which the Village of Saranac Lake transacts business shall be credit worthy. Banks shall provide their most recent Consolidated Report of Condition and Income (Call Report) at the request of the Village of Saranac Lake. Security dealers 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 Chief Financial Officer, or other officers so designated having custody of money, is responsible for evaluating the financial position and maintaining a listing 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 dealer.

XII. PURCHASE OF INVESTMENTS

The Chief Fiscal Officer, or other officers so designated having custody of money, is authorized to contract for the purchase of investments:

1. Directly, including through a Repurchase Agreement, from an authorized trading partner
2. By participation in a cooperative investment program 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 Village of Saranac Lake Board of Trustees 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 GML Section 10.

The Custodial Agreement shall provide that securities held by the bank or trust company, as agent of and custodian for the Village of Saranac Lake, will be kept separate and apart from the general assets of the custodial bank or trust company and will not, in any circumstances, be commingled with or become part of the backing for any other deposit or other liabilities of the bank or trust company.

XIII. OPERATIONS, AUDIT AND REPORTING

The Chief Fiscal Officer, or other officers so designated having custody of money, shall authorize the purchase and sale of all securities and execute contracts on behalf of the Village of Saranac Lake. Oral directions concerning the purchase, transaction, or sale of the securities shall be confirmed in writing. The Village of Saranac Lake shall pay for purchased securities upon delivery.

The Village of Saranac Lake will encourage the purchase and sale of securities through a competitive or negotiated process involving telephone solicitations, electronic solicitations or through a fiscal agent acting on behalf of the Village of Saranac Lake.

The Village of Saranac Lake will encourage the protection and safeguarding of moneys by supporting the maintenance of the Village's computer network to prevent unlawful access of the network, prevent wire fraud and to prevent theft of information including, but not limited to, identity theft.

During the annual audit, the Village of Saranac Lake hereby directs the Independent Auditor to test for compliance with the Investment Policy.

Within ninety (90) days of the end of the fiscal year, the Chief Fiscal Officer, or other officer so designated having custody of money, shall prepare and submit to the Village of Saranac Lake Board of Trustees a year end investment report which indicates new investments, the inventory of existing investments and other matters as the Chief Fiscal Officer deems necessary and appropriate.

Prior to the end of the fiscal year, the Chief Fiscal Officer will provide recommended changes to the Investment Policy based on any findings of the independent audit, changes directed by the New York State Comptroller's Office or changes as a result of a new law or amendment to an existing law enacted by New York State Legislature. Chief Fiscal Officer will provide other recommendations deemed appropriate in protecting the moneys of the Village of Saranac Lake.

The Village of Saranac Lake Board of Trustees shall review and amend if necessary the Investment Policy.

The Village of Saranac Lake shall adopt the Investment Policy at its Annual Organizational Meeting.

The provisions of this Investment Policy and any amendments hereto, shall take effect prospectively and shall not invalidate the prior selection of any custodial bank or prior investment.

Appendix A
**Designation and Limits
of Depositories**

<u>Depository Name</u>	<u>Maximum Limit¹</u>
Community Bank, NA (Custodial Bank)	90%
Adirondack Bank	50%
Citizens Bank	50%
JP Morgan Chase Bank	50%
MBIA Class Investment Program	50%
NBT Bank	50%
TD Bank	50%
United State Treasury Department	90%

¹ The maximum amount of moneys that can be placed on deposit with each banking institution.

Appendix B

Schedule of Eligible Securities

This listing of eligible securities is provided by the New York State Comptroller's Office and may be modified by further limitation of the local government. **The Village of Saranac Lake limits the eligible securities to those items noted below with a check mark and in bold.**

- ✓ **Obligations issued, or fully insured or guaranteed as to the payment of principal and interest, by the United States of America, an agency thereof or a United States government sponsored corporation.**
 - Obligations issued or fully guaranteed by the International Bank for reconstruction & Development, the Inter-American Development Bank, the Asian Development Bank, and the African Development Bank.
- ✓ **Obligations partially insured or guaranteed by any agency of the United States of America, at a proportion of the Market Value of the obligation that represents the amount of the insurance or guaranty.**
- ✓ **Obligations issued or fully insured or guaranteed by the State of New York, obligations issued by a municipal corporation, school district or district corporation of such State or obligations of any public benefit corporation which under a specific State statute may be accepted as security for deposit of public moneys.**
- ✓ **Obligations issued by states (other than the State of New York) of the United States rated in one of the three highest rating categories by at least one nationally recognized statistical rating organization.**
 - Obligations of Puerto Rico rated in one of the three highest rating categories by at least one nationally recognized statistical rating organization.
 - Obligations of counties, cities and other governmental entities of a state other than the State of New York having the power to levy taxes that are backed by the full faith and credit of such governmental entity and rated in one of the three highest rating categories by at least one nationally recognized statistical rating organization.
 - Obligations of domestic corporations rated in one of the two highest rating categories by at least one nationally recognized statistical rating organization.
 - 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 bank regulatory agencies.

- Commercial paper and bankers' acceptances issued by a bank, other than the Bank, rated in the highest short-term category by at least one nationally recognized statistical rating organization and having maturities of no longer than 60 days from the date they are pledged.
- Zero coupon obligations of the United States government marketed as "Treasury Strips"



VILLAGE OF SARANAC LAKE WORKPLACE VIOLENCE POLICY

ADOPTED APRIL 14, 2025

The question of the adoption of the foregoing resolution was duly put to a vote on April 14, 2025 roll call which resulted as follows:

Motion: Scollin Second: Ryan

Roll Call: Brunette abs.; Ryan yes; Scollin yes; White abs.; Williams yes

I, Amanda Hypf, Village Clerk of the Village of Saranac Lake, Franklin County, New York hereby certify that I have compared the preceding resolution with the original thereof filed in my office and that the same is a true and correct copy of said original and of the whole thereof.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed the seal of the said Village of Saranac Lake this 14th day of April, 2025.

Village Clerk

Table of Contents

I. Policy Statement2

II. Definitions3

III. Initial Evaluation and Determination of Workplace.....3

IV. Preventing Workplace Violence Methods3

V. Reporting of Incidents4

VI. Responsibilities.....4

VII. The Workplace Violence Advisory Team.....5

VIII. Confidentiality5

IX. Retaliation6

X. Appendix A- “Workplace Violence Report”6

XI. Acknowledgement8

VILLAGE OF SARANAC LAKE WORKPLACE VIOLENCE POLICY

I. Policy Statement

The Village of Saranac Lake is committed to the safety and security of our employees. Workplace violence presents a serious occupational safety hazard to our agency, staff, and clients. Threats, threatening behavior, or acts of violence against employees, visitors, guests, or other individuals by anyone on Village of Saranac Lake property will be thoroughly investigated and appropriate action will be taken. Individuals who engage in this behavior may be removed from Village of Saranac Lake's property and are subject to disciplinary and/or personnel action up to and including termination, consistent with Village of Saranac Lake policies, rules, and collective bargaining agreements, Civil Service Law, and/or referral to law enforcement authorities for criminal prosecution. The Village Board of Trustees, officials, department heads, staff, volunteers, vendors, contractors, consultants, and others, who business with the Village are expected to maintain a working environment free from violence, threats of violence, intimidation, harassment, coercion, or other threatening behavior towards people or property and to create an environment of mutual respect for each other as well as clients, following all policies, procedures and program requirements.

This policy is designed to meet the requirements of NYS Labor Law 27b and highlights some of the elements that are found within our Workplace Violence Prevention Program. The process involved in complying with this law included a workplace evaluation that was designed to identify the workplace violence hazards our employees could be exposed to. Other tools that were utilized during this process included establishing a committee made up of management and authorized employee representatives who will have an ongoing role of participation in the evaluation process, recommending methods to reduce or eliminate the hazards identified during the process and investigating workplace violence incidents or allegations. All employees will participate in the annual Workplace Violence Prevention Training Programs.

The goal of this policy is to promote the safety and well-being of all people in the workplace. All incidents of violence or threatening behavior will be responded to immediately upon notification. The Village of Saranac Lake has identified response personnel that include a member of management and an employee representative. If appropriate, the Village of Saranac Lake will provide counseling services or referrals for employees.

All Village of Saranac Lake personnel are responsible for notifying the contact person designated below of any violent incidents, threatening behavior, including threats they have witnessed, received, or have been told that another person has witnessed or received.

Additionally, personnel are encouraged to report behavior they reasonably believe poses a potential for workplace violence.

Contact Person: Village Manager. manager@saranaclakeny.gov . 518-891-4150 ext. 205

II. Definitions

- A. Workplace Violence is any behavior that is violent, threatens violence, coerces, harasses or intimidates others, interferes with an individual's legal rights of movement of movement or expression or disrupts the workplace, or the Village's ability to provide services to the public. This includes, but is not limited to:
- An attempt or threat, whether verbal or physical, to inflict physical injury upon an employee;
 - Any intentional display of force which would give an employee reason to fear or expect bodily harm;
 - Intentional and wrongful physical contact with a person without their consent; or
 - Stalking an employee with the interest of causing fear of physical harm to the physical safety and health of such employee when such stalking has arisen through and in the course of employment.
- B. **Who is Covered:** This policy shall apply to all employees of the Village, as well as the Village Board of Trustees, elected and appointed officials, department heads, staff, volunteers, vendors, contractors, consultants, and others who do business with the Village.

III. Initial evaluation and determination of workplace violence risks

The Village of Saranac lake determines that the following are some of the factors or situations in the Village workplaces that might place employees at risk:

1. Duties that involve the handling or exchange of monies
2. Duties that involve mobile workplace assignments
3. Working with unstable or volatile persons in criminal justice settings
4. Working in community-based settings
5. Working in rural or sparsely populated areas
6. Working in poorly lit environment
7. Working alone

IV. Preventing Workplace Violence Methods

1. All Village employees shall possess Village-issued identification.
2. Several Village departments are locked and secured preventing the general public from access unless they are authorized or accompanied by a Village of Saranac Lake employee.
3. The hierarchy of controls to which the program shall adhere is as follows:
Engineering controls, work practice controls and personal protective equipment.

4. All employees will participate in annual workplace violence training.

TRAINING at a minimum will include:

1. The requirements of the 12 NYCRR Part 800.6 regulation and the risk factors that were identified in the risk evaluation and determination;
2. Measures that employees can take to prevent themselves from the identified risks including specific procedures that the employer has implemented to protect employees, such as an incident alert and notification procedures, appropriate work practices, emergency procedures and use of security alarms and other devices.
3. The location of written workplace violence prevention program and how to obtain a copy.

V. Reporting of Incidents

Incidents of workplace violence, threats of workplace violence, or observations of workplace violence are not to be ignored by any Village employee. Workplace violence should be promptly reported to the supervisor, the Village Manager or, if the incident involved the Village Manager, to a Village Trustee. Employees are encouraged to complete and file the Incident Report Form (Appendix A) with the Village Manager, or, if an incident is verbally reported, the person to whom the incident is reported should complete and file the form. The Village Manager shall contact the Workplace Violence Advisory Team. Additionally, Village employees are encouraged to report behavior that they reasonably believe poses a potential for workplace violence. It is important that all employees take this responsibility seriously to effectively maintain a safe working environment.

VI. Responsibilities

A. Elected Officials and Department Heads

Elected officials and department heads shall be responsible for the implementation of this policy. The responsibility includes dissemination of this policy to all employees, ensuring appropriate investigation and follow-up of all alleged incidents of workplace violence, and ensuring that all administration and supervisors are aware of their responsibilities under this policy through internal communication and training.

B. Supervisory Staff

Each employee designated with supervisory responsibility (hereinafter “Supervisor”) is responsible within his/her area of jurisdiction for the implementation of this policy. Supervisors must report, to the Village Manager, any complaint of workplace violence made to him/her and any other incidents of workplace violence which he/she becomes aware or reasonably believes to exist.

C. Village Manager

The Village Manager is responsible for ensuring new employees have a copy of the Workplace Violence Policy and appropriate training. The Village Manager will also be responsible for annually disseminating this policy to Village Personnel, as well as posting the policy appropriately throughout buildings and locations.

The Village Manager will assist Department Heads and the Workplace Violence Advisory Team in responding to workplace violence; and consulting with, as necessary, counseling services to ensure professional intervention.

The Village Manager (or designated department heads) will offer periodic, (annual) opportunities for training in the prevention and awareness of workplace violence.

The Program will be reviewed in its entirety at every Annual Meeting of the Village Board.

VII. The Workplace Violence Advisory Team

The Workplace Violence Advisory Team will consist of the Village Manager, the Department Head (where the incident arose), and a Union Representative (as applicable).

This team will assist in responding to workplace violence; facilitating appropriate responses to reported incidents of workplace violence; assessing the potential problem of workplace violence at its site; assessing the Village's readiness for dealing with workplace violence; evaluating incidents to prevent future occurrences; and utilizing prevention intervention and interviewing techniques in responding to workplace violence.

VIII. Confidentiality

The Village shall maintain confidentiality of investigations of workplace violence to the fullest extent possible. The Village will act on the basis of anonymous complaints where it has a reasonable basis to believe that there has been a violation of this policy and that safety and well-being of Village employees would be served by such action.

IX. Retaliation

Retaliation against anyone acting in good faith who has made a complaint of workplace violence, who has reported witnessing workplace violence, or who has been involved in reporting investigating, or responding to workplace violence is a violation of this policy. Those found responsible for retaliatory action may be subject to discipline up to and including termination, and referral to law enforcement in aggravated circumstances.

APPENDIX A

VILLAGE OF SARANAC LAKE
WORKPLACE VIOLENCE INCIDENT REPORT

Workplace Violence is any action that is violent, threatens violence, coerces, harasses or intimidates others, interferes with an individual's legal rights or expression, or disrupts the workplace, or Village's ability to provide services to the public.

A reportable violent incident is defined as any physical assault, threatening behavior or verbal abuse in any location where an employee performs a work-related duty whether directly involved or observed. Complete this form immediately following a workplace violence incident and submit it to:

Village Manager
39 Main Street, Suite 9
Saranac Lake, NY 12983
manager@saranaclakeny.gov

Date of Incident: _____ Time of Incident: _____

Reporting Employee(s) Name and Job Title _____

Phone: _____

Department: _____ Work Location: _____

Names of other Employees Involved (Agressor/Assailant): _____

Incident Location: _____

Type of Incident: Verbal Physical Other

Were injuries sustained: Yes No

If yes, please specify the extent of the injuries and the location of treatment: _____

Was Law Enforcement Involved? Yes No

Outcome of Police Response: _____

Supervisor's Name and Title: _____

Briefly describe the incident: _____

Has corrective action been taken? Yes No

Specify: _____

Did anyone witness the Incident? Yes No

If yes, please list witness(es) name: _____

Additional Comments: _____

Date of Report

Signature of individual filing report

VILLAGE OF SARANAC LAKE
WORKPLACE VIOLENCE POLICY

ACKNOWLEDGEMENT

(To be placed in employee's personnel file)

I hereby acknowledge that I have received, read, and understand the Village of Saranac Lake's Workplace Violence Policy and agree to review any changes or modifications to this policy.

Signature: _____ Date: _____



VILLAGE OF SARANAC LAKE HARASSMENT ANTI-DISCRIMINATION POLICY

ADOPTED APRIL 14, 2025

The question of the adoption of the foregoing resolution was duly put to a vote on April 14th, 2025 roll call which resulted as follows:

Motion: Scollin, Second: Ryan
Roll Call: Brunette absent; Ryan yes; Scollin yes; White absent; Williams yes

I, Amanda Hoff, Village Clerk of the Village of Saranac Lake, Franklin County, New York, hereby certify that I have compared the preceding Resolution with the original thereof filed in my office and that the same is a true and correct copy of said original and of the whole thereof.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed the seal of the said Village of Saranac Lake this 14th day of April 2025.

Amanda Hoff
Village Clerk

Table of Contents

I.	Policy Statement.....	2
II.	Applicability of Policy	2
III.	Supervisory Responsibility.....	2
IV.	Prohibited Activity.....	3
V.	Definition of Sexual Harassment.....	3
VI.	Forms of Sexual Harassment	3
VII.	Reporting of Harassment (Including Sexual Harassment).....	4
VIII.	Workplace Harassment (Including Sexual Harassment) Complaint Form.....	4
IX.	Confidentiality.....	5
X.	Investigation of Complaint.....	5
XI.	Employee or Elected Official Defense	5
XII.	Employee Rights	5
XIII.	Disciplinary Action	5
XIV.	Prohibition Against Retaliation	6
XV.	Harassment Reporting Form	

Village of Saranac Lake
Anti-Discrimination and
Harassment (Including Sexual Harassment) in the Workplace

I. POLICY STATEMENT

It is the policy of the Village of Saranac Lake to promote a productive work environment and to prohibit conduct by any employee that disrupts or interferes with another's work performance or that creates an intimidating, offensive, or hostile work environment. In keeping with this goal, the Village of Saranac Lake is committed to educate employees in the recognition and prevention of workplace discrimination and harassment, including sexual harassment, and to provide an effective means of eliminating such harassment from the workplace. Any conduct that discriminates against, denigrates or shows hostility or aversion towards a person on the basis of gender, race, color, national origin, religion, disability, pregnancy, age, marital status, veteran status, military status, genetic predisposition, sexual orientation, or any other protected status is strictly prohibited.

In short, the Village will not tolerate any form of harassment, including sexual harassment, and will take all steps necessary to prevent and stop the occurrence of such harassment the workplace. The accompanying complaint procedure is intended to provide an effective mechanism for reporting, and resolving promptly, complaints of harassment, including sexual harassment, without any risk of repercussion to an employee who, in good faith, files such complaint.

II. APPLICABILITY OF POLICY

This policy applies to all Elected Officials, employees, supervisors, and Department Heads, whether employed full or part-time, temporary or seasonal, whether elected or appointed and regardless of compensation level, and all personnel in a contractual relationship with the Village. Depending on the extent of the Village's exercise of control, this policy may be applied to the conduct of non-Village employees with respect to harassment of Village employees in the workplace.

III. SUPERVISORY RESPONSIBILITY

Department Heads and supervisory personnel are responsible for ensuring a work environment that is free from harassment including sexual harassment. Supervisors must take immediate and appropriate corrective action when instances of harassment come to their attention in order to assure compliance with this policy.

IV. PROHIBITED ACTIVITY

No employee shall either explicitly or implicitly ridicule, mock, deride, or belittle any person. Employees shall not make offensive or derogatory comments based on race, color, sex, religion, national origin, or any other protected status either directly or indirectly to another person. Employees shall not produce offensive or inappropriate written materials (e.g. letters, email message, or graffiti.) These are examples of harassment that are a prohibited form of discrimination under State and Federal employment law and also considered misconduct subject to disciplinary action by the Village; it is not intended to be a comprehensive list and does not limit the Village's ability to take disciplinary action in other appropriate instances.

V. DEFINITION OF SEXUAL HARASSMENT

This policy places special attention on the prohibition of sexual harassment in the workplace. Sexual advances that are not welcome, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when:

- a) Submission to such conduct is made either explicitly or implicitly a term of condition of an individual's employment; OR
- b) Submission to or rejection of such conduct by an individual is used as the basis for employment decisions, such as promotion, transfer, or termination, affecting such individual; OR
- c) Such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile or offensive working environment.

Sexual harassment refers to behavior that is not welcome, that is personally and objectively offensive, that fails to respect the rights of others, that lowers morale and that, therefore, interferes with an employee's work performance and/or effectiveness or creates an intimidating, hostile or offensive working environment. Exposure to such conduct that serves to alter the terms and conditions of employment is prohibited by this policy and state and federal law.

VI. FORMS OF SEXUAL HARASSMENT

Specific forms of behavior that the Village of Saranac Lake considers sexual harassment and which are prohibited include, but are not limited to the following:

- a) Quid pro quo threats or promises by a supervisor (loss of job or promise of job, promotion, or other employment benefit).
- b) Verbal harassment of a sexual nature related to an employee's gender, including sexual innuendoes, slurs, sexual slurs, suggestive, derogatory,

insulting or lewd comments or sounds, whistling, jokes of a sexual nature, sexual propositions and/or threats.

- c) Sexually oriented comments about an employee's body that are unwelcome and/or unreasonably interfere with an employee's work performance or create an intimidating, hostile, or offensive working environment.
- d) Any sexual advance that is unwelcome or any demand for sexual favors.
- e) Sexually suggestive written, recorded or electronically transmitted material, showing or displaying pornographic or sexually explicit objects or picture, graphic commentaries leering or obscene gestures in the workplace such that it unreasonably interferes with an employee's work performance or creates an intimidating, hostile, or offensive working environment.
- f) Physical contact of any kind which is not welcome, including touching, grabbing, hugging, fondling, jostling, petting, pinching, coerced sexual intercourse or sexual relations, assault or intentional brushing up against a person's body.

VII. REPORTING OF HARASSMENT (including Sexual Harassment)

Employees are encouraged to report incidents of harassment (including sexual harassment) to their Department Head and/or Village Manager as soon as possible after their occurrence. If the employee's Department Head is believed to be involved in the incident, the report should be made directly to the Village Manager. If the Village Manager is the source of the alleged harassment, the employee should report the problem to the Mayor or any Village Board member. Employees who believe they have been harassed and would like to obtain guidance as to how to proceed in filing a complaint, should contact their immediate supervisor, their Department Head, the Village Manager, the Mayor, or any member of the Village Board. Employees who work during off-hours are encouraged to contact their supervisor, their Department Head, the Village Manager, the Mayor, or any member of the Village Board at home if these individuals do not work during the employee's shift.

VIII. WORKPLACE HARASSMENT (including Sexual Harassment) COMPLAINT FORM

To ensure that all harassment complaints are managed appropriately, effectively and in accordance with the Village's policy, harassment complaints, including sexual harassment complaints, will be recorded in writing by using the Village sanctioned Workplace Harassment Complaint Form. These forms can be obtained from the Village Manager's Office. If needed, additional guidance can be obtained from the Village Manager's Office.

IX. CONFIDENTIALITY

Complaints of harassment will be handled and investigated promptly and in a manner that is as impartial and confidential as possible. In no event will information concerning a complaint be released by the Village to third parties or to anyone within the Village employment who is not directly involved in the investigation or handling of the complaint unless otherwise required by law.

X. INVESTIGATION OF COMPLAINT

The Village Manager will determine the appropriate individual (s) to conduct the investigation. The investigation will normally include conferring with the parties involved and any named or apparent witnesses. The particular facts of the allegation will be examined individually, with a review of the nature of the behavior and the context in which the incident(s) occurred. Any complaints received will be investigated promptly, thoroughly, and in as impartial a manner as possible. All employees are required to cooperate in an investigation, if so directed.

XI. EMPLOYEE OR ELECTED OFFICIAL DEFENSE

Any employee or Elected Official charged with sexual harassment will be afforded a full and fair opportunity to offer and present information in their defense. Such information will be confidential to the extent possible.

XII. EMPLOYEE RIGHTS

Nothing in this policy should be construed as in any way limiting employees' rights to use the Dispute Resolution Procedure as described in the Village of Saranac Lake Employee Handbook or any grievance procedure contained in a collective bargaining agreement. Employees also have the right to file a formal complaint with appropriate state or federal agencies responsible for administering anti-discrimination laws.

XIII. DISCIPLINARY ACTION

Any employee or official who is found to have committed an act of workplace harassment including sexual harassment will be subject to disciplinary action, up to and including termination of employment, as provided by Village operating procedures including Civil Service Law Section 75 or the disciplinary procedures contained in a collective bargaining agreement, whichever is applicable. Any Elected Official who violates this policy will be subject to remedial action as provided for and/or allowed under NYS Public Officers Law, as well as any other applicable statutes. Any vendor, supplier, visitor, customer, or other non-employee who violates this policy will be subject to remedial action, to the extent that the Village is empowered to take such action.

XIV. PROHIBITION AGAINST RETALIATION

Intimidation, coercion, threats, reprisal or discrimination against any employee who in good faith brings a written or verbal complaint or who assists or aids in the investigation of such a complaint is prohibited. Any employee who participates in the procedure may do so without fear of retaliation. Retaliation against any employee who has filed a discrimination or harassment complaint is prohibited and may result in disciplinary action up to and including termination of employment.

XV. TRAININGS

Training regarding Diversity and Harassment will be completed annually.

HARASSMENT INCIDENT REPORT FORM

Harassment is any action that is explicitly or implicitly ridicules, mocks, derides, or belittles any person. Employees shall not make offensive or derogatory comments based on race, color, sex, religion, national origin, or any other protected status either directly or indirectly to another person. Employees shall not produce offensive or inappropriate written materials (e.g. letters, emails, or graffiti).

Employees are encouraged to report incidents of harassment (including sexual harassment) to their Department Heads and/or Village Manager as soon as possible after the occurrence.

Village Manager
39 Main Street, Suite 9
Saranac Lake, NY 12983
manager@saranaclakeny.gov

Date of Incident: _____ Time of Incident: _____

Employee Name and Job Title _____

Phone: _____

Names of other affected employees: _____

Department: _____ Work Location: _____

COMPLAINANT INFORMATION

1. Your complaint of harassment is being made against:

Name: _____ Title: _____

Relationship to you: Supervisor Subordinate Co-Worker Other

2. Please describe what happened and how it affects you and your work. Please use additional sheets of paper if necessary and attach any relevant documents or evidence.

3. Date harassment occurred: _____

4. Is harassment continuing? Yes No

5. Please list the name(s) and contact information for any witnesses or individuals who may have information related to your complaint:

Additional Comments: _____

Date of Report

Signature of individual filing report



VILLAGE OF SARANAC LAKE DRUG-FREE POLICY

ADOPTED APRIL 14, 2025

The question of the adoption of the foregoing resolution was duly put to a vote on April 14th, 2025 roll call which resulted as follows:

Motion: Scollin, Second: Ryan.
Roll Call: Brunette abs; Ryan yes; Scollin yes; White abs; Williams yes.

I, Amanda Hoepf, Village Clerk of the Village of Saranac Lake, Franklin County, New York, hereby certify that I have compared the preceding Resolution with the original thereof filed in my office and that the same is a true and correct copy of said original and of the whole thereof.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed the seal of the said Village of Saranac Lake this 14th day of April 2025.


Village Clerk

Table of Contents

I. Statement.....	2
II. Employee Responsibilities	3
III. Supervisory Responsibilities	4
IV. Management Responsibilities	6
V. Summary.....	7

VILLAGE OF SARANAC LAKE DRUG-FREE WORKPLACE POLICY

I. STATEMENT

This Bulletin outlines the Village of Saranac Lake's standards on the prohibition of alcohol and drugs in the workplace. It will assist employees in the guidance of their conduct, thereby promoting productivity and protecting the Village from criticism and liability. It will also provide instruction to Supervisors when an employee appears impaired at work. All of these efforts will contribute to a safer work environment for all.

This policy is based upon the Village of Saranac Lake's long standing practice and policy prohibiting the use of alcohol and drugs on the job, the Federal Drug-Free Workplace Act of 1989, the State of New York's Policy on Alcohol and Controlled Substances in the Workplace and the Omnibus Transportation Employee Testing Act (OTETA). The OTETA is scheduled to take effect for the Village of Saranac Lake during 1996 and the Village of Saranac Lake will comply with USDOT rules which mandate pre-employment, reasonable suspicion, post-accident, random, follow-up and return to duty drug and alcohol testing of employees in various positions requiring the possession of a Commercial Driver's License (CDL) and others who operate Village vehicles and equipment. Employees determined to be in this category will be notified of their status and responsibilities prior to the implementation of any drug and alcohol testing program.

The Village of Saranac Lake will assist employees who have a drug or alcohol dependency problem to recover from such addictions provided the employees seek or accept assistance. However, the Village of Saranac Lake may take appropriate formal disciplinary action which can include penalties up to, and including, termination of employment to resolve drug or alcohol related job performance and/or misconduct problems. It is important to emphasize that employees with drug and/or alcohol problems who wish to avail themselves of rehabilitative services or any rehabilitation program should pursue help before they are determined to be in violation of the Village of Saranac Lake's Drug-Free Workplace Policy.

II. EMPLOYEE RESPONSIBILITIES

It is the policy of the Village of Saranac Lake that:

1. No employee shall use, sell, distribute, dispense, possess, or manufacture any alcoholic beverage or illegal drug or any other intoxicating substance on the job site, or Village property while on duty; or while in a Village vehicle, or a privately owned vehicle being used for Village business during the employee's work hours.
2. No employee shall report for work unfit for duty at the beginning of a shift or upon returning from any break, lunch or rest period, as a result of consuming alcohol, illegal drugs or other intoxicant. Further, no employee notified of being in a safety sensitive position as defined by the Omnibus Transportation Act of 1991 shall report to work in a condition that violates that Act and the corresponding rules.
3. An employee that operates any village owned motorized vehicle or equipment is further prohibited from the use of alcohol for (4) hours prior to operating that vehicle or equipment. No Supervisor having knowledge that an employee in such a position has used alcohol within four (4) hours shall permit that employee to operate Village owned vehicles or equipment.
4. While prescription drugs are not prohibited, they should not render an employee unfit for duty. Situations of this nature should be brought to the supervisor's attention by the employee, especially if the employee's job responsibilities have an impact on the health and safety of others and/or has been identified as an employee who normally operates vehicles or equipment. These situations should be addressed confidentially on a case-by-case basis, and it may be necessary for the employee's physician to certify that the substance does not adversely affect the employee's fitness for duty.
5. Any work-related accident or injury involving Village of Saranac Lake vehicles, equipment and/or property where it can be demonstrated that the use of alcohol, drugs, or other intoxicants may have been a contributing factor, will result in formal discipline which can include penalties up to and including termination of employment. Further, effective January 1, 1996 an employee operating village owned vehicle or equipment shall be required to take post-accident alcohol and drug

tests in accordance with the OTETA. Such an employee shall not use alcohol for eight (8) hours following an accident or until he/she undergoes a post- accident alcohol test, whichever occurs first.

6. An employee shall notify his/her supervisor of any criminal drug statute conviction no later than five days after the date of such conviction. A supervisor notified of such a conviction shall relay that information to the Village Manager.
7. An employee may be directed to undergo a medical examination under Section 72 of the New York State Civil Service Law if a Supervisor has a reasonable suspicion that the employee is not able to perform his or her duties as a result of a disability which may be caused by alcohol or a controlled substance. Furthermore, effective January 1, 1996, an employee who operates a Village owned vehicle or equipment must be directed to undergo alcohol and/or drug testing when the Supervisor has "reasonable suspicion" to believe the employee violated the alcohol or drug prohibitions of the Act. A reasonable suspicion must be based on specific reliable observations about the employee's appearance, behavior, speech, or body odors. Some examples would be unsteady gait, odor of alcohol on the breath, thick or slurring speech, aggressive or abusive language or behavior, disorientation or lethargy. Other factors to consider include employee's time and attendance patterns, on-the-job accidents, difficulty remembering instructions or conversations, poor relationships with co-workers and Supervisor, and other variations in productivity. Usually reasonable suspicion will be based upon a combination of these factors.
8. Such designated employees shall be subject to random testing for drug and/or alcohol use.
9. Violation of these rules may result in a disciplinary action up to and including termination of employment.

III. SUPERVISORY RESPONSIBILITIES

It is the policy of the Village of Saranac Lake that:

1. Supervisors are responsible for determining through direct observation, whether an employee is capable of performing his/her assigned duties. Symptoms of being under the influence of alcohol and drugs include incoherent or belligerent speech, smell of alcohol, difficulty working, or erratic or unusual behavior uncommon to the employee. (See #7 of Employee Responsibility Section).

2. Supervisors who suspect that an employee is under the influence of alcohol or drugs must follow steps 4 & 5 below or face disciplinary action.
3. Employees who are suspected of being unfit for duty may not remain at the workplace. Such incidents and situations as described in #1 above should be witnessed and documented in writing immediately, and the department head or Village Manager consulted. Clearly, an employee who is impaired should not be allowed to drive home from the workplace. (See #5 below for further direction.)
4. Employees who are suspected of being unfit for duty as a result of alcohol or drug use should be directed for reasonable suspicion based drug and/or alcohol testing in accordance with Section 72 of the Civil Service Law. Supervisors should immediately bring their observations to the attention of their department head so that through consultation with the Village Manager examination and/or testing arrangements can be made as soon as practical.
5. After reasonable suspicion testing issues have been resolved, the Supervisor should arrange to send the unfit employee home with a member of the employee's family, friend of the employee, or in a taxi at the employee's expense. If all other alternatives are exhausted, a Supervisor may allow an employee who is unfit for duty to be driven home in a village vehicle.
6. The fact that an unfit employee under the influence of alcohol or drugs was not allowed to remain at work is not considered a disciplinary suspension. After a removal is achieved, Supervisors and department heads should discuss the specifics of the situation with the Village Manager to review whether disciplinary charges and suspension or other administrative actions are appropriate. Each situation will be evaluated on a case-by-case basis.
7. When an employee displays dangerous, aggressive or abusive behavior which constitutes a danger to that employee or others and the employee resists voluntarily leaving the workplace, clearance to suspend under the disciplinary procedure should be immediately sought through appropriate channels from the Village Manager. In cases where the employee does not comply with disciplinary

suspension or due to the time of day disciplinary suspension approval could not be obtained *and* the employee continues to display aggressive and/or abusive behavior which constitutes a danger in the workplace, the Supervisor may have to contact Village Police to remove the employee from the work place. Law enforcement intervention should only be taken if it is believed an immediate danger to persons or property exists and the other measures described above were unsuccessful in controlling the situation.

8. An employee who reports to work unfit for duty and is sent home may use sick leave or leave with no pay to cover the absence, and may be subject to medical examination by a physician at the Village of Saranac Lake's expense as a condition of returning to work. In such cases, the Village Manager, in conjunction with the Union representative should be consulted for advice. (See #7 of the Employee Responsibilities Section.)

IV. MANAGEMENT RESPONSIBILITIES

It is the policy of the Village of Saranac Lake that:

1. A drug and alcohol free workplace be maintained through the efforts and personal example of management.
2. Appropriate corrective actions be taken with Managers and Supervisors who fail to perform their duties and responsibilities as outlined in this policy.
3. Managers and Supervisors discuss with subordinate employees any behavior or job performance factors that may indicate the use of drugs, alcohol or other violations of this policy and when appropriate suggest that employees seek appropriate assistance.
4. Managers will direct employees who operate village owned vehicles and equipment to mandatory pre-employment, pre-duty, reasonable suspicion, random, post-accident, return- to-duty and follow-up testing in accordance with this policy. Managers should also direct

other employees believed to be unfit for duty for medical examination and possible alcohol and/or drug testing in accordance with Section 72 of the New York State Civil Service Law.

5. All employees and supervisors understand its Drug-Free Workplace policies and Drug Testing Procedures. The Village of Saranac Lake will also train Supervisors how to recognize behaviors that indicate reasonable suspicion for requesting medical examinations, including drug and/or alcohol tests.

V. **SUMMARY**

In summary, it is the policy of the Village of Saranac Lake that all employees remain free of any drug and/or alcohol induced impairments while on duty, refrain from the use of illegal drugs and/or alcohol while on duty, and while operating any village vehicles or equipment, and undergo any drug and/or alcohol testing that is required.

LINK TO EMPLOYEE HANDBOOK

ACKNOWLEDGEMENT OF A CONFLICT OF INTEREST

I, Kelly D. Brunette , Trustee of the Village of Saranac Lake, acknowledge that I have an interest in any contract between the Village of Saranac Lake and _____ because I am an employee of and or have an interest in the company.

STATE OF NEW YORK]
COUNTY OF FRANKLIN] SS.

On this 14th day of April, 2025, before me, the undersigned, a Notary Public in and for said state, personally Kelly D. Brunette, personally known to me or provided to me on the basis of satisfactory evidence to be the individual whose name is subscribed to the within instrument and acknowledged to me that she executed the same in his capacity, and that by his signature on the instrument, the individual, or the person upon behalf of which the individual acted, executed the instrument.

Village Clerk

ACKNOWLEDGEMENT OF A CONFLICT OF INTEREST

I, Sean Ryan , Trustee of the Village of Saranac Lake, acknowledge that I have an interest in any contract between the Village of Saranac Lake and _____ because I am an employee of and or have an interest in the company.

STATE OF NEW YORK]
COUNTY OF FRANKLIN] SS.

On this 14th day of April, 2025, before me, the undersigned, a Notary Public in and for said state, personally Sean Ryan, personally known to me or provided to me on the basis of satisfactory evidence to be the individual whose name is subscribed to the within instrument and acknowledged to me that she executed the same in his capacity, and that by his signature on the instrument, the individual, or the person upon behalf of which the individual acted, executed the instrument.

Village Clerk

ACKNOWLEDGEMENT OF A CONFLICT OF INTEREST

I, Matthew Scollin , Trustee of the Village of Saranac Lake, acknowledge that I have an interest in any contract between the Village of Saranac Lake and _____ because I am an employee of and or have an interest in the company.

STATE OF NEW YORK]
COUNTY OF FRANKLIN] SS.

On this 14th day of April, 2025, before me, the undersigned, a Notary Public in and for said state, personally Matthew Scollin, personally known to me or provided to me on the basis of satisfactory evidence to be the individual whose name is subscribed to the within instrument and acknowledged to me that she executed the same in his capacity, and that by his signature on the instrument, the individual, or the person upon behalf of which the individual acted, executed the instrument.

Village Clerk

ACKNOWLEDGEMENT OF A CONFLICT OF INTEREST

I, Aurora White , Trustee of the Village of Saranac Lake, acknowledge that I have an interest in any contract between the Village of Saranac Lake and _____ because I am an employee of and or have an interest in the company.

STATE OF NEW YORK]
COUNTY OF FRANKLIN] SS.

On this 14th day of April, 2025, before me, the undersigned, a Notary Public in and for said state, personally Aurora White, personally known to me or provided to me on the basis of satisfactory evidence to be the individual whose name is subscribed to the within instrument and acknowledged to me that she executed the same in his capacity, and that by his signature on the instrument, the individual, or the person upon behalf of which the individual acted, executed the instrument.

Village Clerk

ACKNOWLEDGEMENT OF A CONFLICT OF INTEREST

I, James Williams , Mayor of the Village of Saranac Lake, acknowledge that I have an interest in any contract between the Village of Saranac Lake and _____ because I am an employee of and or have an interest in the company.

STATE OF NEW YORK]
COUNTY OF FRANKLIN] SS.

On this 14th day of April, 2025, before me, the undersigned, a Notary Public in and for said state, personally James Williams, personally known to me or provided to me on the basis of satisfactory evidence to be the individual whose name is subscribed to the within instrument and acknowledged to me that she executed the same in his capacity, and that by his signature on the instrument, the individual, or the person upon behalf of which the individual acted, executed the instrument.

Village Clerk