
 <b>Corrections and Community Supervision</b>  <b>DIRECTIVE</b>	TITLE <b>Equipment Acquisition Guidelines</b>		NO. 2915
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SUPERSEDES DIR# 2915 Dtd. 12/06/16	DISTRIBUTION A	PAGES PAGE 1 OF 3	DATE LAST REVISED
REFERENCES (Include but are not limited to) Directives #2822, #2944, #3173; OSC User Procedure Manual, Vol.XI; OSC Bulletin G-80	APPROVING AUTHORITY 		

- I. PURPOSE:** This procedure outlines the general guidelines for gaining approval prior to the lease or purchase of equipment items. Refer also to Directive #3173, “Acquisition and Disposition of Surplus Property,” and Directive #2944, “Equipment Control.”
- II. DEFINITIONS:** Equipment is generally defined as any item with a cost of \$250 or more and a life expectancy of over two years. However, it should be noted that some items that appear to meet this definition (computer software, components parts, etc.) are not equipment since they do not function or operate independently.
- Capital equipment is generally any item (or multiples of an item) with a total cost of more than \$500 and a life expectancy of more than five years.
- III. EQUIPMENT REQUIREMENTS AND SPECIFICATIONS**
- A. Requirements: In developing actual equipment requirements, the following factors should be considered:
1. Time frames - Plan how much lead time will be required (funding approval, contract approval, delivery time, etc.) before actual need;
  2. Space and floor load requirements;
  3. Utility requirements (gas, water, electric, ventilation, temperature control); and
  4. Impact on operating budget:
    - Staff Training
    - Service Contracts
    - Energy Consumption
- B. Specifications: In developing equipment specifications, the following factors should be considered:
1. Specifications should be based on the intended use of the equipment item without over or under “specing” of equipment due to funding levels or remote need;
  2. If necessary, consult with prospective vendors to find out what they offer. Determine make/model that best meets the need, and obtain an estimated cost.  
CAUTION: Do not make any commitment to vendors even if vendor is a potential sole source. Explain to the vendor that purchases must be made by the competitive bidding process; and
  3. If assistance is required in developing specifications, contact the Division of Support Operations.

**IV. OBTAINING FUNDING APPROVAL:** Sufficient and approved funds must be available for all equipment purchases. Purchasing without the required approvals and/or circumventing established procedures will not be tolerated by the Department.

NOTE: Requests for mainframe computer terminals, scanners, on-line printers, PC emulation boards, and modems must first be approved by the Office of Information Technology Services (ITS), formerly MIS, per Directive #2822, "Request for Information Technology Hardware Acquisition/Relocation/Removal."

A. Central Office

1. [Form #1622](#), "Purchase Requisition," or other appropriate request form must be completed by the requesting division and signed (or authorized) by the Division Head.
2. Completed Purchase Requisitions are to be forwarded to the Division of Budget and Finance for funding approval.
3. Purchase Requisitions approved by Budget and Finance are sent to the Division of Support Operations for the processing of corresponding purchasing documents.
4. Purchase Requisitions disapproved by Budget and Finance are returned to the originating division with a notation of the reason for disapproval.

B. Facilities

1. Operating Funds: Facility operating funds are subject to controls established by the Division of Budget and Finance, and Institution Stewards are responsible for determining if specific approval is required before processing purchasing documents for equipment items funded from the facility's operating budget.  
NOTE: Generally, equipment leases must be financed from operating funds.
2. Capital Funds: Capital equipment funds are subject to controls established by the Division of Support Operations, and corresponding equipment requests are approved and funded on an item-by-item basis.
3. Guidelines for submission of facility requests for both new and replacement capital equipment items are issued by the Division of Support Operations.

C. Purchasing Regulations: Staff responsible for purchasing should be familiar with all applicable rules and regulations as promulgated by this Department as well as any State Agency. These include, but are not limited to, the following:

1. Office of General Services
  - a. Procurement Guidelines
  - b. Statewide Fixed Asset Accounting System
2. Division of the Budget
  - a. H-101 Approval
  - b. Qualifications of COPS (Certificates of Participation)
  - c. "Agency Spending Controls Application," Form #B1184, required before H-101 Approval

3. Office of the State Comptroller
  - a. Procurement and Disbursement Guideline
4. Empire State Development
  - a. Contract Reporter

## V. PURCHASING DOCUMENTS

- A. [Form #1622](#), "Purchase Requisition," required for equipment is to be submitted to the Division of Support Operations for approval. Upon approval by Support Operations, Purchase Requisitions will be forwarded to appropriate purchasing staff for processing.
- B. Purchase Requisitions must include a complete description of the item including essential and desirable features (be sure to state which features are which). If applicable, include size and color. Also, include the source of funding (e.g., State purchase, capital, UDC capital, etc.) and the estimated cost.
- C. Purchase Orders should also include a complete description of the equipment item(s), even if items are on contract. Purchase Orders should also include any special delivery instructions and the name of the unit (location) that is to receive the equipment.