
 <p>Corrections and Community Supervision</p> <p>DIRECTIVE</p>	<p>TITLE</p> <p>Equipment Acquisition Guidelines</p>		<p>NO. 2915</p>
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<p>SUPERSEDES</p> <p>DIR# 2915 Dtd. 09/13/18</p>	<p>DISTRIBUTION</p> <p>A</p>	<p>PAGES</p> <p>PAGE 1 OF 3</p>	<p>DATE LAST REVISED</p>
<p>REFERENCES (Include but are not limited to)</p> <p>New York State Finance Law Article 11; Directives #2822, #2916, #2944, #3173; OSC Guide to Financial Operations (GFO), Vol. XI; OGS Procurement Guidelines</p>	<p>APPROVING AUTHORITY</p> 		

- I. **PURPOSE:** This procedure outlines the general guidelines for gaining approval prior to the lease or purchase of equipment items. In addition to the resources listed in the “References Box” above, refer to Directive #2916, “Purchasing Supplies and Equipment.”
- 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 considered to be any item with a total cost of more than \$500 (or multiple of such item) and a life expectancy of more than five years.

For guidance, please see Form #2915A, “Capital Equipment Funding Request.” Page 2 of this form includes guidelines for the submission of various types of equipment requests (e.g., security, mess hall, physical plant, etc.), and the methods which they can be submitted.
- 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).
 4. Impact on operating budget:
 - a. Staff Training
 - b. Service Contracts
 - c. Energy Consumption
 - B. Specifications: In developing equipment specifications, the following factors should be considered, or actions taken:
 1. Intended use of the equipment/item and only what is needed to meet form, function, and utility.
 2. Appropriate market research by the Subject Matter Expert or Program Area representative.
 3. Consult with prospective vendors if clarification is necessary or to confirm current offerings. Determine make/model that best meets the specific form, function, and utility (need), and obtain a quote.

4. If assistance is required in developing specifications, contact the Division of Support Operations, or Division of Facilities Planning and Development, or appropriate Department of Corrections and Community Supervision (DOCCS) Subject Matter Expert (e.g., Nutritional Services, Technical Security Services supervisor [TSS], etc.).

NOTE: If necessary, explain to the vendor that purchases must be made in accordance with New York State Law, and DOCCS/Control Agency protocols, which in many cases requires competitive bidding to determine reasonableness of price.

IV. OBTAINING FUNDING APPROVAL: Sufficient 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, online 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 DC-158](#), "Purchase Requisition," 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 Facilities Planning and Development and the Division of Support Operations.
3. Submission of facility requests for both new and replacement capital equipment items are to be submitted via Form #2915A. Upon review of Form #2915A, Support Operations (if approved) provides funding authorization notice by completing and returning the form. All DOCCS purchasing must be accomplished in compliance with NYS Procurement Guidelines and DOCCS policies/protocols.

C. Purchasing Regulations: Staff responsible for purchasing should be familiar with all applicable laws, rules, and regulations; including DOCCS policies/protocols. See Directive #2916 for additional guidance.

V. PURCHASING DOCUMENTS

- A. [Form DC-158](#), inclusive of “p-card” requests, must include:
1. A complete description of the item. The description must list the part or item number and include essential and desirable features, what the product is, and if not readily discernable, what it is to be used for. If applicable, also include any other helpful descriptions such as size and/or color.
 2. The “emergency box” should only be checked if **not** conducting the purchase will result in an imminent threat to safety and security or jeopardizing mandated operations. The nature of the emergency must be clearly explained.
 3. Include the source of funding/coding (e.g., State purchase, capital, UDC capital, etc.) and the estimated cost.
 4. Submissions to Central Office **must** include any necessary ad-hoc approvals, with the appropriate Budget Chief copied. NOTE: DOCCS Budget Analysts will check for the necessary ad-hoc approvals; if absent, such request will not be approved.
- B. Purchase Orders must include a complete description of the equipment item(s), even if items are on contract, and should also include any special delivery instructions and the name of the unit (location) that is to receive the equipment.