

A LICENSE MAY BE REQUIRED

AUDIT OF THE CITY OF SYRACUSE LICENSE & PERMIT OPERATIONS



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MESSAGE FROM THE CITY AUDITOR

August 5, 2024

A regular audit of license revenues is a charter-mandated responsibility of the City Auditor (Article V, Section 5-808). The last time a review of the City's licensing function was undertaken by an Auditor was in 2011. Before beginning a regular process of examining revenues from this operation, we felt it was crucial to undertake a comprehensive review of how Syracuse issues licenses. I am confident saying this report is the most thorough examination of licensing ever issued by the City Auditor's office.

What we learned over several months of untangling the complex series of structures around licenses came back to one major theme: over a half-dozen City departments play a role, but nobody's really in charge. Over time, the licensing function has moved from an independent body, to a



commission, to a role in the Department of Finance, to the Central Permit Office where it's co-located with permitting overseen by Neighborhood and Business Development. While licenses may be cohabitating with permitting, it's still legally married to the Department of Finance in City ordinances.

Like many City operations, the best asset we have here is our people: there's a strong team willing to implement new ideas, create efficient operations, and deliver results. They should be commended for their dedication and hard work. Improving the reporting structure of licensing, as well as its permitting counterpart, could lead to substantial improvements in outcomes, sounder processes, and a better customer experience for end users. That is a critical first step, which can naturally be followed by implementing new technology and enhancing proactivity. During the course of this audit, the departmental staff already showed a willingness to make improvements, including revising applications and working with the property manager at One Park Place to install improved exterior signage.

This audit is not the end, but rather the beginning of an ongoing conversation of how we can continue improving. Syracuse benefits most when we embrace a mindset of continual growth – a mindset I was pleased to see exhibited by the staff of the Central Permit Office. Making this office stronger is possible and, with the many recommendations offered by this audit, we can improve outcomes and the customer experience for the people of Syracuse.

Alexander Marion, MPA Syracuse City Auditor

EXECUTIVE SUMMARY

BACKGROUND

Business owners and their venues, properly licensed, provide assurances to the public that the professionals they are dealing with have been vetted and meet the necessary requirements to conduct business in their community.

This review began with the current City Charter (1960) along with the Revised General ordinances as amended since their adoption. Per Section 5-808 of the City Charter of the City of Syracuse-1960, "the city auditor shall monthly examine the receipts and disbursements of the department of finance relating to licenses and shall advise the department of finance on the safeguarding and accounting of funds it receives elated to licenses." In preparation of this audit, a review of current operations noted that licensing functions have been operating from the Central Permit Office (CPO) for nearly a decade, despite the Charter describing them as a clear function of the Department of Finance.

Using the City Auditor's powers under Section 5-501, to conduct an audit of the affairs of every department, and make recommendation for the improved administration of the affairs of City government, the scope was intentionally widened to cover the broader licensing and permitting operations of the Central Permit Office along with other departments, bureaus, or divisions of city government who work with them to administer, review, issue, or enforce licenses and permits.

COMPLIANCE WITH GAGAS

We conducted this performance audit in accordance with Generally Accepted Government Auditing Standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

AUDIT OBJECTIVES

The Office of the City Auditor established three objectives which sought to provide a clear picture of the organizational structure, operations, and safeguarding of city finances when it comes to City permitting and licensing operations. For Objective #1, the focus was on organization, structure, and objectives. Objective #2 examined compliance, consistency, and accuracy. Objective #3 examined fees, approvals, and waivers.

AUDIT PERIOD

The audit scope covered the time period of July 1, 2022 through December 31, 2023.

KEY FINDINGS

The audit found the City of Syracuse has ordinances regulating 75 different licenses. Layers of legislation over the years have created scattered, confusing, complicated, and sometimes overlapping rules which make it hard for even City officials to interpret and follow. The licensing process has struggled to gain efficiencies, create predictability, and provide consistently high-quality deliverables for residents and businesses looking to operate in the City.

The audit found license functions effectively operate on the "honor system." Numerous businesses – and in some cases entire industries – are operating without proper licenses required by City ordinance. Simple search engine results identified companies which according to ordinance should be licensed but are not. Neither the License Coordinator, SPD, nor the other CPO administrative staff identified any proactive work to identify and license non-compliant businesses. The Department of Finance does not employ any enforcement staff, leaving all enforcement to the SPD. More enforcement work, both proactive and reactive, is needed.

New York State law regulates gambling and games of chance. The audit found that games of chance and 50/50 raffles take place at many events in the City with prize pools sometimes exceeding \$1,000. Activities where individuals risk money for a chance at winning a prize need to be licensed to protect fairness and integrity.

The audit also found the City does not have formalized policies for the collection, safekeeping, and transit of payments. City accountants nor departmental staff reconcile the register receipts against cash reports of the actual activity which generated the revenue. No verification is completed by departments to confirm funds were correctly deposited into the appropriate revenue accounts.

The audit identified that the City Clerk has bank accounts controlled by the department and not the Department of Finance. Finally, the audit also found overall organization of the CPO lacked key structures and documents to guide the office. No mission or vision statement was provided. A 2022 Standard Operating Procedure document provided the most insight into the innerworkings of the office but it had not been updated.

KEY RECOMMENDATIONS

The audit makes 30 recommendations to City officials to improve their organizational structure, operational compliance, and financial oversight, beginning with creating a new Department of Permits, Licenses, and Inspections. A new department can create a more efficient process and better ensure the public's safety. This function should also be moved to City Hall, creating a true one-stop shop for all City services.

As part of an update to create a new department, the City should conduct a comprehensive review of all licenses, permits, and certificates and streamline them into one business license ordinance. Ordinances should be amended to require the License Coordinator to furnish a renewal application; outdated licenses should be removed, and emerging licenses added to protect the public.

City officials should overhaul the appearance of business licenses and standardize these documents. Expiration dates should be prominently displayed, and these documents should have uniformity in the City official responsible for signing and enforcing them. Individuals who follow the rules and pay fees to be licensed should also be promoted by the City as qualified and licensed; this list should be promoted prominently in City communications.

The audit also recommends the Department of Finance immediately establish clear rules for how payments are handled. The City should have formal policies regarding who can transport payments and how and how often that process happens. Cash reports should be accompanied by supporting backup. The Department should be skeptical of funds it receives from operating departments and should make them prove the source of their revenues. Similarly, departments should monitor and ensure their receipts are being properly booked to the correct revenue accounts by the Department of Finance.

INTRODUCTION

WHAT ARE LICENSES?

Licensing and permitting functions exist at almost every level of government in nearly every municipality across the country.

Practically all New York State departments and agencies permit or license "something," and the State Department of Taxation and Finance reminds you "many counties, cities, towns, and villages also require local permits and licenses. Check with the local authorities where your business is located and where you will be transacting business." (Exhibit 1)

Businesses and venues, properly licensed, provide assurances to the public that the professionals they are dealing with have been vetted and meet the necessary requirements to conduct business in their community. Oftentimes these assurances impact health and safety, which is why food vendors and electricians require licenses, and why cab drivers and entertainment venues require them as well.

These assurances also provide validity to games of chance and bingo. Licensing these games provides assurances to the public that community events with 50/50 raffles, sweepstakes, and other wagers for prizes provide a fair and equitable chance of winning, and all the proceeds go to the cause as advertised. These games require fairness to operate properly and are even regulated by New York State. (Exhibits 2, 3)

HISTORY OF LICENSING IN SYRACUSE

Licensing functions existed in the City of Syracuse prior to 1965 but this review began with the current City Charter (1960) along with the Revised General Ordinances as amended since their adoption. The history shown tracks the evolution of licensing functions in Syracuse from a stand-alone department in the 1960s, to the present-day auxiliary function of the Central Permit Office.

1965 - Creation of License Commission

In September 1965, just five years after the City of Syracuse adopted its current charter, the Common Council unanimously adopted an amendment to create a new Charter 20, "License Commission." (Exhibit 4)

This new Commission was established as an Executive office, headed by a Commissioner of Licenses. According to the law, the Commissioner would be responsible for administering, issuing, inspecting, and enforcing licenses, permits, and "other authorizations required by law."

Complimentary to the License Commission, the Council also created a Chapter 19, Department of Building and Housing Control. That Department tasked its commissioner with administering and enforcing codes and laws relating to building and housing, including local maintenance laws, fire codes, electrical codes, zoning codes and more. (Exhibit 5)

These two newly established executive offices would be responsible for carrying out state mandates and local laws the areas of permits and licenses to ensure the public's safety and the integrity of a variety of games of chance.

1995 - Abolishment of License Commission; Duties Transferred to Commissioner of Finance

After three decades operating as a standalone department, city officials proposed a new local law in 1995 which would abolish the City License Commission and transfer the duties and functions of the Commission to the Department of Finance.

Under the proposed reorganization, a new section 5-805 would be created, giving all administration, enforcement, issuance, and inspections of licenses the Department of Finance. The legislation passed by a 6-3 vote with then-Common Councilor Karen Uplinger noting on the record that she would not be supporting the legislation because of the number of issues which come up before the License Commission stating "[she was] not convinced this will work." Councilor Edward Carni announced his support for the legislation because of the financial situation of the City. (Exhibit 6)

In the years which followed, license applicants could visit City Hall and apply for a license through a clerk in the Department of Finance. Permitting functions were located elsewhere in city government, handled through a variety of departments including Code Enforcement, Department of Public Works, and Parks.

2014 - Creation of Central Permit Office

In 2014, a new effort was established which would co-locate the City's licensing and permitting functions under one roof, with goals of creating efficiencies and streamlining the process.

Billed as "a single location to request many different types of City approvals," the new office was named the Central Permit Office (CPO) and would serve as a single place where individuals and companies looking to do business in the City could visit to receive information, make applications, and license their business. The new office was located on the first floor of City Hall Commons, hoping to provide an easy, convenient location for residents and businesses to get the information they need to conduct business in Syracuse. (Exhibit 7)

Upon the creation of the CPO, the Department of Finance employee overseeing licensing, the Licensing Coordinator, was transferred out of City Hall and relocated to the CPO.

2023 - Transition to New Offices at One Park Place

In 2023, in response to the City's decision to close and sell City Hall Commons, the Central Permit Office, along with other City departments transitioned to new City offices at the One Park Place building, located at 300 S. State Street in Downtown. The CPO completed their move in August 2023 and maintains a separate public entrance for their offices at the Southeast corner of the building. (Exhibit 8)

CITY AUDITOR'S DUTIES

As noted in the prior section, licenses and permits have been required for certain businesses and activities for decades. In 1965, when the License Commission was created, the City Council established a requirement for the City Auditor to regularly examine city licensing.

Per Article V, Section 5-808 of the City Charter of the City of Syracuse-1960, "the city auditor shall monthly examine the receipts and disbursements of the department of finance relating to licenses and shall advise the department of finance on the safeguarding and accounting of funds it receives related to licenses..." (Exhibit 9)

In preparation of this audit, a general review of current operations noted that licensing functions in the City have been operating from the Central Permit Office for nearly a decade, despite the Charter describing them as a clear function of the Department of Finance.

Using the City Auditor's powers under Article V, Section 5-501, to conduct an audit of the affairs of every department and make recommendations for the improved administration of the affairs of City government, the scope was intentionally widened to cover the broader licensing and permitting operations of the Central Permit Office along with any other departments, bureaus, or divisions of city government who work with them to administer, review, issue, or enforce licenses or permits. (Exhibit 10)

AUDIT INFORMATION

OBJECTIVES

The Office of the City Auditor established three objectives which sought to provide a clear picture of the organizational structure, operations, and safeguarding of city finances when it comes to City permitting and licensing functions.

Objective #1: Determine the organizational structure and define roles; identify any organizational mission, goals, values, and/or objectives.

Objective #2: Determine if the organization is complying with current ordinances, and if their website, applications, licenses, and other documents/materials provide current, accurate, and reliable information.

Objective #3: Confirm the organization's receipts and disbursement reflect the fees established in ordinance, are properly accounted for, and that any waivers of fees are documented and justified.

SCOPE

The audit scope covered the time period of July 1, 2022 through December 31, 2023.

Most licenses are issued for a calendar year with expiration dates coinciding with December 31. The audit plan deliberately selected an eighteen-month period to investigate the City's renewal and re-licensure processes.

Objective one encompassed the City's Central Permit Office (CPO) where individuals and businesses would typically begin the permitting or licensing process. The CPO is largely permit-focused and is operated and administered by staff of the Office of Neighborhood and Business Development (NBD), and more specifically, the Division of Code Enforcement. A License Coordinator also operates out of the CPO and has since 2014. The City Charter and Revised General Ordinances indicate licensing functions are housed within the Department of Finance. (Exhibit 11) All other Department of Finance staff are housed at City Hall.

The engagement recognized that permits and licenses involve multiple city departments, including the Syracuse Police Department (SPD), Syracuse Fire Department (SFD), and the Department of Public Works (DPW) and Department of Parks, Recreation, and Youth Programs (Parks). The City Clerk also plays a large role in licenses – issuing thousands of Marriage Licenses, Dog Licenses, and Sporting Licenses each year. Other departments and bureaus also participate in the process, including Water, Engineering, Zoning, and Code Enforcement.

To fully understand the structure, reporting, and flow of documents, the audit was comprehensive, and for purposes of this objective, included any city department involved in the administration, review, issuance, or enforcement or licenses or permits.

Objectives two and three significantly narrowed the focus and specifically looked at the City's licensing operations, as conducted through the License Coordinator located at the Central Permit Office.

Permitting, including their administration, review, issuance, and enforcement, was not within the scope of this engagement, however, the Office of the City Auditor was privy to information on this topic during the engagement.

METHODOLOGY

The Office of the City Auditor used a variety of methods during discovery and data collection to assess the objectives.

For Objective #1, the focus was on organization, structure, and objectives.

Benchmarks and a basis of standards were established by conducting a basic review of several other cities permitting and licensing functions, including mid-sized cities in New York State such as Buffalo, Rochester, and Albany. The review was expanded to include Pittsburgh, PA and Cleveland, OH to add additional prospective.

These cities' websites, budget information, and lists of permits, licenses, and inspections and their associated ordinances and forms were all reviewed, in addition to their organizational structure, fees, and fines. Online portals were accessed to the extent possible, when available.

A cursory assessment of New York State laws and the permitting and licensing functions of state agencies was also conducted. Additionally, websites and documents from good government groups, interest groups, and other boards and commissions were reviewed to understand best practices in permitting and licensure.

To test the City of Syracuse operations, all guiding documents from the CPO including organizational charts, training guides/manuals, department studies/reports, and any other overarching strategies and departmental missions/objectives were reviewed. The review also requested information relevant to any major changes to the CPO, including their recent relocation and ongoing staff turnover. Additional information and context was generated through the review of budget data and testimony, public statements, and press releases.

As previously noted, other City departments participate in the permitting and licensing processes. To understand their relationship and the flow of information with and between them and the CPO, flow charts of operations were requested site visits of multiple departments were conducted. Key staff members were interviewed, and departmental documents were reviewed with the goal of gathering a clear assessment of their operations. In total, the Office of the City Auditor met with more than 30 city staff to discuss this engagement.

Objective #2 examined compliance, consistency, and accuracy.

All available information about City licensing and permitting was reviewed. The public City of Syracuse internet website (syr.gov) and departmental webpages were culled for information, and online license applications, forms, and other documents were compared against hard copy versions provided by the CPO. In addition to applications, all other available information which might be provided to a new licensee, such as a cover letter, documents explaining display requirements, copies of ordinances, rights and responsibilities of a license holder, and any other rules or regulations were examined. To understand the reapplication and/or renewal process, information and documents related to license renewals which was available was reviewed.

Online accounts were created using Camino, the online tool used to issue some permits and licenses at the City website. The review tested the system's ease of use and ability to perform a variety of tasks. Additionally, City staff generously provided a presentation of the Camino program, and Clareti, the parent company of the Camino program, also provided a presentation of the system. (Exhibit 12)

The review of the various documents, websites, and programs noted a wide variety of contact methods and information. To test the accuracy and reliability of these contact methods, a compilation of names, addresses, phone numbers, and email addresses from the various applications, forms, websites, and programs, were checked for accuracy, consistency, and return communications by placing phone calls, sending emails, and visiting physical addresses.

The investigation also included reviewing the former city website (syrgov.net) which is archived with a link available on the current website. This review provided an understanding of how online information has been displayed and changed over time. The City completed the transition to their current site – syr.gov – in September 2022, during the scope of this engagement. (Exhibit 13)

Finally, staff visited the CPO to conduct a physical inspection of their operations. Reviews of their office layout, department displays, files, and license storage to determine their record- and safe-keeping practices were conducted. The review investigated whether or not original authorizing ordinances were available and on hand or summarized in a comprehensive document. Staff reviewed internal documents, records, files, folders, and spreadsheets of licenses issued and their supporting paperwork.

Objective #3 examined fees, approvals, and waivers.

This objective sought to understand if licenses were being issued in a manner and at fees consistent with law, in a timely manner, and that all necessary paperwork and approvals were secured prior to the insurance of a license, and any waivers were properly documented.

Reviews were conducted of completed license applications along with their supporting documentation, including additional paperwork submitted, correspondence, evidence/proof of payment, a copy of the physical license issued, and cash reports. The audit investigated the department's recordkeeping practices and compared financial ledger findings to the department's records. Budget checks were performed to understand how and where any money taken by departments for license operations flowed into city accounts.

The audit also sought to understand if any policies were in place for waivers of fees. An inquiry was made about any permits or licenses for which fees were waived, and waiver policies or other acceptable means to dismiss or not charge a fee were requested.

To confirm license payments, reimbursements, and pass-through dollars (such as Bingo proceeds to be sent to New York State) were being treated properly, internal revenue accounts, department reports of license revenues, and records of payments to New York State were all reviewed.

As a final test on this objective, physical examinations of licenses were conducted to see if any special or security features were contained therein, such as an embossed or raised seal, automatic or consecutive numbering, the use of special papers or unique placards, or other anti-fraud/security measures.

ENGAGEMENT PROCESS

On January 29, 2024, the Office of the City Auditor formally notified Mayor Ben Walsh and members of his administration of the Office's intention to begin Audit Number 2024-01: An Audit of the Licensing and Permitting Operations of the City of Syracuse. Our notification included the objectives, scope, methods, and anticipated timeline for the audit. (Exhibit 14)

Over the months which followed, staff from the Office of the City Auditor met with employees and officials from numerous city departments to understand their roles in the process, along with the flow of information, documents, and money. The review began with key individuals from the CPO, including individuals from Neighborhood and Business Development, Finance, and Code Enforcement, and expanded to include the Departments of Parks, Recreation & Youth Programs, Police, Fire, Public Works, Water, Engineering, Zoning, Law, the City Clerk, and the Office of Analytics, Performance, and Innovation.

A draft audit report was delivered to Mayor Walsh for his administration's review and response. A copy of that response has been included along with this final audit report.

FINDINGS

OVERALL

<u>Finding: The Ordinances Governing Licenses, Permits, Inspections, Registrations, Approvals, and Certificates are Complex, Outdated, and Overlapping</u>

The terms license, permit, inspection, registration, approval, and certificate are used, sometimes interchangeably, within City ordinances to define the various permissions and allowances required from City government.

The audit found layers of legislation over the years have created scattered, confusing, complicated, and sometimes overlapping rules which make it hard for even City officials to interpret and follow. Some types of businesses, including amusement businesses, taxicabs, and secondhand dealers, have been particularly regulated over time.

Despite the many layers of legislation, some licenses lack a statutory definition outlining the specific nature of what activity/business requires the license. Some licenses, such as entertainment licenses, provide a schedule of fees with far too many categories which are too similar. Both instances have built-in confusion about to whom the license applies or which fee should be charged.

Finding: The City of Syracuse Has Ordinances Regulating 75 Different Licenses

The audit found a myriad of ordinances covering 75 different businesses or license types, everything from transport vehicles, to amusement venues, to transient businesses, and more. (Exhibit 15)

Below is the complete list of licenses which are legislated in the City's Revised General Ordinances.

Acrobatic Performance

Amusement Center Owner/Operator (Amusement Operator's License)

Amusement Center (having coin-controlled devices)

Amusement Center (Juke-box only)

Amusement Location Game/Amusement Device

Bingo

Games of Chance

Charitable Gaming

Circus (Indoor or Outdoor)

Common Showman

Concert

Curiosity (Artificial or Natural)

Dance

Public Dance, Dancing/Dancing Hall

Exhibition - Paintings

Exhibition - Statuary

Feats of Horsemanship

Feats of Legerdemain

Feats of Necromancy

Jukeboxes

Floor Show

Motion Picture Show

Motion Picture Device

Opera Performance

Picture Show

Professional Basketball

Professional Hockey

Skating/Skating Rink/Roller Skating Rink

"Any Other Amusement for the Public"

Open-Air-Cultural Event (Sponsored by a nonprofit to display and/or sell paintings, works of art, jewelry,

handicraft, etc.)

Juice Bar

Bill Poster

Bill Distribution

Buses

Auctioneer

Going-Out-of-Business Sales

Junk Collector Without A Yard

Newsstand/Sidewalk Newsstand

Nonresident Bankrupt Sales

Damaged Goods Clothing Sales

Pawnbrokers

Peddlers & Peddlers Assistants

Transient Retail Business

Secondhand Dealers

Junk Dealer

Mechanical Contractor - Chemical based fire suppression mechanical license

Mechanical Contractor - Flammable and combustible liquid mechanical license

Mechanical Contractor - Limited HVAC mechanical license

Mechanical Contractor - Limited refrigeration mechanical license

Mechanical Contractor - Master HVAC mechanical license

Mechanical Contractor - Master refrigeration mechanical license

Mechanical Contractor - Residential HVAC mechanical license

Mechanical Contractor - Special HVAC mechanical license

Mechanical Contractor - Special refrigeration mechanical license

Mechanical Contractor - Water based fire suppression mechanical license

Solicitors & Solicitors Assistants

Sentry Dogs

Snow Removal Contractors

Scrap Processors

Tobacco Retail License

Conveying Systems - Installer's License

Conveying Systems - Limited Installer's License

Conveying Systems - Mechanic's License

Food Vendor License

Mobile Food Vendor License

Taxicabs - Ground Transportation License

Taxicabs - Taxicab Driver's License/Airport Bus Driver's License
Ambulances
Towing Company License
Waste Hauler License
Bicycle
Booting License
Business Certificate of Use
Marriage License
Dog License

Finding: Central Permit Office Needs to Do More to Communicate New Location

For many years, the City of Syracuse maintained offices at City Hall Commons, located at 201 E. Washington Street. Upon its creation in 2014, the CPO was housed on the first floor at this location.

In 2023, the City permanently closed City Hall Commons and opened new offices at One Park Place, located at 300 S. State Street, about two blocks from City Hall. As a result, the City reorganized a number of City departments – all departments vacated City Hall Commons and some moved from City Hall to new offices at One Park Place. The CPO office relocated to One Park Place where it now maintains first-floor offices along the south side of the building off E. Onondaga Street.

The audit found that the CPO needs to do better to communicate its new location. As a key customer-facing department, it's important the public can find this office.

The former City Hall Commons is now a locked building with signage at that location found behind dirty glass, making it difficult to read. A QR code and link on that signage directed the user to a "Page Not Found" website. (Exhibit 16) No information or signage was found at City Hall providing information about where someone could find the permit office.

At the new CPO offices, signage is surprisingly limited – with only a small A-frame sign near their office door, accessible only from the far side of the building along E. Onondaga St. advising the public to their entrance. (Exhibit 17) No information directing a visitor to their new office location is available at the main entrance along S. State Street, or the building's side door along E. Fayette Street – both entrances you'd use before seeing the CPO door if you walked from the former City Hall Commons. In the lobby, there is no signage and customers can only access the CPO through the side door along E. Onondaga Street.

CPO staff informed the City Auditor's office at the conclusion of this report that the have begun working with the property manager at One Park Place to acquire and install additional signage on the exterior of the building – a commendable, proactive step.

NOTE: In their response to the draft audit report, the administration notified the Office of the City Auditor of their work to install new, more visible signage at One Park Place and provide a handout at City Hall for those looking for One Park Place offices.

<u>Finding: Licensing Information Hard to Find on City Website; Site Needs More Research Tools and Better User Interface</u>

City websites should be useful tools to help communicate with the public, provide valuable research and information, and save staff time. Good websites for permitting and licensing departments should include

basic departmental objectives, information about requirements, and applications. They should have contact information and titles for key individuals. Websites which include fee schedules, applicable sections of City code, and an online portal where transactions can be conducted make for a great user experience and less calls and emails to departmental offices. The audit found that locating information about licenses and permits can be a burdensome task on the City of Syracuse website.

A "Licenses, Approvals, and Fees" link under the Business tab could provide more utility; it is the same link you get when you type "licenses" into the search bar. Unfortunately, that page only includes information for a Peddler's License, one of more than three dozen licenses the City requires, and one of the least issued. (Exhibit 18)

A page named Business Resources includes a link to "Forms, Applications, and Documents" but that webpage only includes information about sidewalk cafes and loading zone permits. (Exhibit 19)

Only when you navigate directly to the Central Permit Office webpage can you begin to identify the various licenses the City requires. A "Permits, Licenses, and Periodic Inspections" link (at the bottom of their page) takes you to a page which includes a series of links to the various permits, licenses, and inspections. (Exhibit 20)

Many of these links take you directly to a sign-on page for Camino without providing any additional context. (Exhibit 21) Users cannot use the City website for researching, only for applying. Ideally, users would have access to more information about the process and requirements before being taken to a logon screen.

For links to licenses specifically, during the period under audit, the user would have been directed to a PDF of an outdated application which may have included incorrect information. Fortunately, license applications were updated during the course of this engagement at the recommendation of the Office of the City Auditor. Applications now include information such as a link to the originating ordinance, fees, clear and consistent indemnification statements.

<u>Finding: City Staff Were Unaware of Prior Audits Conducted by the City Auditor; Prior Audit Recommendations Were Never Implemented</u>

As mandated by Article V, Section 5-808 of the City Charter, the City Auditor "shall monthly examine the receipts and disbursements of the department of finance relating to licenses and shall advise the department of finance on the safeguarding and accounting of funds it receives relating to licenses." (Exhibit 9) Due to the Charter mandate, the City's licensing functions have been regularly audited over the years by the Office of the City Auditor.

The City Auditor's website includes past audits going back to 2004 and a review of them found more than a dozen audits related to licensing from 2004 through 2011. (Exhibit 22) These audits are notably dated, however they provided valuable information during this engagement. Many of these audits issued recommendations including: consolidating licensing functions, updating licensing categories, and strengthening internal controls. (Exhibits 23, 24, 25)

The audit found that staff and officials within the Central Permit Office were unaware of any prior audits impacting licensing operations and no prior recommendations from past City Auditors had not been implemented.

ORGANIZATIONAL

<u>Finding: The Central Permit Office (CPO) operates within the Division of Code Enforcement, with a License Coordinator reporting to the Deputy Director of the CPO</u>

The CPO (where most but not all permits and licenses are administered) operates as a function of Division of Code Enforcement within the Department of Neighborhood and Business Development.

The audit found the Office's reporting structure is not linear, with the Director and Assistant Director of the CPO handling different portfolios and both reporting to the same supervisor – the Deputy Commissioner of Code Enforcement and Zoning. Two organizational charts were provided by the CPO, an original and an updated version, and neither accurately depicted the actual reporting structure. (Exhibits 26, 27)

NOTE: In response to the draft audit report, the administration reviewed the organizational charts provided and deem them correct. The Office of the City Auditor continues to note that the updated organizational chart provided was organized based on job titles and does not clearly depict the reporting structure or chain of command.

The License Coordinator is reporting to the Assistant Director of the CPO.

The Deputy Commissioner of Code Enforcement and Zoning reports to the Commissioner of Neighborhood and Business Development, who oversees three additional Deputy Commissioners (Neighborhood Development, Business Development, and Planning and Sustainability)

Finding: Licensing Operations Are Highly Decentralized

Despite the abolishment of the License Commission nearly 30 years ago and the centralization of the permitting and licensure functions 10 years ago, the licensing process has struggled to gain efficiencies, create predictability, and provide consistent and high-quality deliverables for residents and businesses looking to operate in the City.

The audit found that NBD, Finance, Police, Fire, DPW, Parks, and the City Clerk can all be involved in the administration of various licenses. At the CPO, reporting structures aren't linear, and enforcement is weak. Without clear leadership and with no ability to enforce the rules, license coordinators are not empowered or obligated to improve the process.

Finding: The Central Permit Office Has Insufficient Organizational Support Structures

Good organizations are guided by strong leadership, a clear mission, and measurable goals and objectives. These organizations see benefits in vision and value statements, good organizational charts, and internal control documents; they value staff development, require regular training, and seek consistency in their work product.

The audit found the overall organization of the CPO lacked key structures and documents to guide the office. No mission or vision statement was provided by the CPO.

A 2022 Standard Operating Procedure document provided the most insight into the innerworkings of the office, but it had not been updated. (Exhibit 28) The document included outdated people, places, and links despite a note on page 1 stating that it would be reviewed and updated quarterly. Two different

versions of an organizational chart were provided but neither accurately depicted the actual reporting structure.

No other training manuals, guides, internal controls, or flowcharts of their operations were provided or identified. Failure to have these key documents puts the organization at risk in the event of extended absences, staff turnover, or changes in administration.

OPERATIONAL

<u>Finding: Nearly All City Licenses Are Administered, Reviewed, And Issued By One Employee, And Only Enforced By A Two-Person Detail Of The Syracuse Police Department.</u>

The audit found license functions effectively operate on the "honor system" with the City issuing licenses to businesses which apply for them but take little to no action on those who fail to comply. Proactive identification of non-compliant businesses and enforcement operations are limited and insufficient.

The administration and issuance of licenses largely runs out of the Central Permit Office and is handled by a single employee, a License Coordinator, who processes new license applications as they are submitted. License reviews can involve other departments, including Police, Fire, and Zoning.

Neither the License Coordinator, SPD, nor other CPO administrative staff identified any proactive work to identify and license non-compliant businesses; tactics including mailings and drop-ins are not used to communicate with businesses and/or individuals who fail to comply with licensing laws. Simple search engine results identified dozens of companies which according to ordinance should be licensed but are not.

With no proactive work taking place, license enforcement is the only tool available to ensure compliance. The Charter gives enforcement power to the Commissioner of Finance, "in cooperation with the Department of Police" (SPD). The Department of Finance does not employ any enforcement staff, leaving all enforcement to the SPD. Until recently, all enforcement work by SPD was carried out by a single Sergeant who handled ordinance enforcement as one of their many responsibilities. SPD recently added a Police Officer to assist the Sergeant with the workload but their time continues to be split among multiple duties. More enforcement work, both proactive and reactive, is needed to ensure high levels of compliance.

<u>Finding: Software Redundancy and Siloing Are Too Common; City Lacks Comprehensive Plan for Programs and Software</u>

Software programs which include public user interfaces are becoming more and more common for governments to engage with citizens. Whether it's neighbors reporting complaints or developers tracking a project's permit, exciting new tools are being developed every year. Ensuring these programs are managed well, and expanded or retired when appropriate, is a key function of their success.

IPS (Integrated Property System), Camino, and E-Plans Review (EPR) are all being used by the Central Permit Office to administer licenses and permits. Docupet is being used by the City Clerk to issue dog licenses, and the Water Department is using CityWorks to track service complaints but acknowledged their interest in expanding the program in the future to handle the department's permitting functions.

The audit found that the City is using multiple programs to license and permit businesses and activities, not including other mapping and design programs being used behind the scenes to assist with other project deliverables. These programs are not being managed centrally and there is no overarching plan for software and programs. The Office of Analytics, Performance, and Innovation (which this year merged with the Office of Digital Services) is now reviewing all new software requests.

An additional concern is that potential users in other City departments are not being included in the planning, development, and build-out of Camino. The CPO wants this to be the only program used in permit and license review as soon as next year but end users in City government feel disconnected from the process and under-included in the development. This was brought to our attention by multiple City staff who stated they were not engaged in planning or implementing the Camino program and were unaware of their personal or departmental role related to Camino moving forward.

Finding: City Has No Dedicated Project Manager for Camino Implementation

Software programs should have a dedicated central manager who can address day-to-day functionality and troubleshooting as well as plan for the big picture and implement changes to those programs. This individual can also act as a liaison between the software developer and city users, funneling concerns and complaints. This is a common practice within the private sector, with staff at major technology companies holding roles like "account representatives" or "customer success managers", where staff provides support implementing new programs, offering trainings, and resolving user issues.

The audit found that the City does not have a dedicated individual responsible for the implementation and/or build out of the Camino software system. Despite City staff describing Camino as the future state of the permitting and licensing process, staff from Clareti (Camino's parent company) could not identify a roadmap towards full implementation. A Clareti representative said the City had ample individuals able to use the program but lacked a dedicated subject matter expert able to convene users, prioritize requests, and make backend changes. Additionally, the representative shared that they and their technical support staff were available to assist with build out, implementation, and training, but the City did not regularly request that type of support.

Evidence of this issue was clear when Department of Audit staff requested view only access to Camino from CPO staff and were informed the system does not provide that option by the City's Chief Administrative Officer. (Exhibit 29) Upon our request, Clareti was able to create view-only accounts for staff in the Auditor's Office within minutes.

<u>Finding: City Applications Provided Outdated Information, Issues Corrected During Course of the</u> Audit

City applications, available on the City's website and provided at the beginning of this audit contained outdated information, including fees that did not match current ordinances, contact information for the 201 East Washington Street location, letterhead naming officials from the previous administration, and references to the City's licensing commission, which was disbanded in 1995. (Exhibit 30)

During this audit, staff from the Office of the City Auditor brought this to the attention of CPO staff, who revised and posted new forms. These new included cover pages, FAQs, and instructional guides. This was a positive development and the CPO staff should be commended for their swift, proactive work.

Finding: Permits, Licenses, and Certificates of Use all Have Different Signatories

Permits, licenses, and certificates of use all have different signatories, emblematic of the nonuniform process of obtaining permissions from the City of Syracuse.

The audit found the Deputy Commissioner of Code Enforcement and Zoning's name appears on City permits related to building codes. (Exhibit 31)

The Commissioner of Finance's name appears on most licenses, despite the employee administering that function, the License Coordinator, reporting to a subordinate of the Deputy Commissioner of Code Enforcement. (Exhibit 32)

Certificates of use, which are general business licenses required for certain businesses including bars, restaurants, food stores, and smoking establishments, have no signatory. A review of these certificates found inconsistencies, with some stamped with the Department of Code Enforcement's raised seal and others containing no seal. (Exhibits 33, 34)

COMPLIANCE

Finding: Many Businesses Operate without Proper Licenses

Hundreds of businesses are required to obtain a license prior to operating, per City ordinance, including buses, food vendors, and professional hockey events. The audit found that numerous businesses – and in some cases entire industries – are operating without proper licenses required by City ordinance.

According to documents provided by City officials, zero licenses were issued during the 18-month audit period for buses, professional hockey, and scrap processors. Only a handful of licenses were issued for snowplow operators, towing companies, and food vendors. Simple internet searches for these terms turned up a wide variety of companies openly promoting and advertising that they operate and do business in the City. A review of these companies found many did not have a valid license to operate during the period of audit scope.

<u>Finding: Central Permit Office Issued A License For A Deregulated Activity And Incorrectly Charged</u> Entertainment Venue

Over time, City licensing regulations have been added and removed to reflect the changing times. In 2020, General Ordinances #19 and #20 were introduced and passed to deregulate bowling alleys. The legislation removed licensing requirements and charges for these facilities, along with dance schools, ice shows, musical shows, and theater/stage productions. (Exhibit 35)

Chapter 5 of the Revised General Ordinances outlines amusement businesses, with Article 1 detailing general licensing provisions. Section 5-6 provides license fees.

The audit found the CPO issued a bowling alley license to Apex Entertainment at DestiNY USA following the repeal of the bowling alley licensure requirement. The City accepted the venue's application and payment and issued a license. (Exhibit 36)

The audit also found the CPO issued an entertainment license to JD Pizza and Grill on October 10, 2023 and charged the venue the annual price. (Exhibit 37) Per licensing ordinance Section 5-6(b), licenses are

issued on a calendar-year basis and a Floor Show license issued after July 1, for a venue of 150-250, should be charged a reduced rate of \$125.00. (Exhibit 38)

Each license contains unique requirements, rules, regulations, and costs. Having a readily accessible, centralized database of license ordinances and rules is critical to keeping track of various licenses. Additionally, regular communication with licensees about changes in regulation can serve to improve outcomes.

Finding: Licenses Approved Without Proper Signoffs and Missing Paperwork

The dozens of licenses required by the City have varying requirements, which can include insurance certifications, photo identification, permits from other governments (such as a health permit from the County Health Department), and in the case of taxicab drivers – fingerprints and a medical certification form signed by a licensed physician.

Some licenses can be handled directly by the Licensing Coordinator but others require sign offs from the Syracuse Police Department, the Syracuse Fire Department, and/or the Zoning Department.

The audit found far multiple examples of license files either improperly maintained or issued without the proper paperwork. License files were found to be incomplete and missing insurance paperwork, identification, and health permits; some taxicab drivers did not submit fingerprints or medical certifications.

Finding: License Renewal Efforts Don't Go Far Enough But Provide A Significant Opportunity

With licenses expiring annually, one of the most important elements of licensure is the renewal process and ensuring businesses stay compliant under City law. This audit engagement intentionally selected an 18-month window of scope to review the renewal process and understand how the City is maintaining compliance among businesses with existing licenses.

The files provided by the CPO included a renewal letter which was being sent by a prior License Coordinator to businesses whose licenses were about to expire. (Exhibit 39) That employee left the CPO in the summer of 2023 and it was several months before they were replaced. During that period of transition, and in the time since, renewal efforts have been limited.

No license ordinances have language requiring the License Coordinator to send a renewal letter or application to businesses with expiring licenses; however, this low-cost, proactive measure provides a significant opportunity for City government to increase compliance and revenues.

NOTE: In their response to the draft audit report, the administration notified the Office of the City Auditor of their work to now send renewal letters to expiring licensees. The Office of the City Auditor is pleased to see improvements to the renewal process; however, this Office continues to recommend that all city ordinances covering licenses be amended to add this requirement.

Finding: License Approval Times are not Consistent

Every license required by the City requires the applicant to complete an application, and many require additional submittals such as insurance documentation, photo identification, and/or permits from other governments such as a health permit from the Onondaga County Health Department.

Depending on the type of license, the review process can vary from a simple review by the License Coordinator to a complete background check and approval from the Syracuse Police Department.

The audit found that license turnaround time from application to issuance was inconsistent. During a period of transition in the CPO where the license coordinator was being replaced with a new employee, months went by with virtually no license activity. Reviews of some licenses took months. (Exhibit 40)

<u>Finding: The Commissioner Of Finance Is Not In Compliance With Section 5-1(d) Of The City Ordinances</u>

According to Section 5-1(d) of the Revised General Ordinances of the City of Syracuse, the Commissioner of Finance shall provide to a quarterly report to the City Clerk stating the number, location, and type of new entertainment licenses granted by the City during the preceding quarter. In addition, the Commissioner of Finance shall file an annual report with the Clerk summarizing the year's activity concerning entertainment licenses. (Exhibit 41)

The audit found that no quarterly or annual reports regarding entertainment licenses were submitted to the City Clerk during the period under audit. (Exhibit 42)

This, again, speaks to the decentralization of licenses whereby operations are functionally carried out by the Department of Neighborhood and Business Development, but ordinances have not kept up with administrative changes.

Finding: The Director of Code Enforcement is Not in Compliance with Section 27-181 Of The City Ordinances

According to Section 27-181 of the Revised General Ordinances of the City of Syracuse, the Commissioner of Finance shall provide an annual report to the Common Council detailing the number of businesses that have a certificate of use and the number and names of businesses that have had their certificate of use suspended and/or revoked pursuant to the article. (Exhibit 43)

The audit found that no annual reports regarding certificates of use were submitted to the Common Council during the period under audit. (Exhibit 42)

Finding: With No Enforcement Of Waste Hauler Licenses, DPW Decided To Stop Issuing Them

Waste Hauler Licenses are sometimes referred to as permits but per the City budget book, waste hauler licenses are one of the specific revenues which gets accounted for in the City's general "Licenses" account. (Exhibit 44) They are a business license whereby haulers must license their business and register their trucks. Waste hauler licenses are required for private haulers to collect trash in the City. According to law, each individual permit, which must be displayed on hauling vehicles, is charged \$270 on top of the \$150 license fee for the hauling company. (Exhibit 45)

The audit found that these licenses are no longer being issued. This license was issued directly from the Department of Public Works and did not go through the CPO. DPW identified this ordinance as not being enforced and determined the administrative burden was too great to issue them. Instead of transferring this responsibility to the CPO, DPW unilaterally decided to no longer issue these licenses.

Waste haulers drive loud and heavy machinery on City streets and participate in a dirty but necessary function. The waste hauler license ordinance remains in City law.

<u>Finding: The Commissioner Of Finance Has Not Established A Process For Appealing A Revoked, Suspended, Or Denied License</u>

The City Charter Article V, Section 5-807(1) provides that the Commissioner of Finance shall issue licenses and Section 5-807(2) creates procedures for what occurs if a license is refused, revoked, or suspended and provides an applicant the opportunity to have a hearing challenging the ruling. Article V, Section 5-807(3) states that the Commissioner of Finance may establish rules of procedure for hearings. (Exhibit 46)

The audit found some licenses, such as the Vehicle Mobilization (Booting) License and Mechanical Contractors Licenses, have a specific process for an appeal, but most licenses do not. (Exhibits 47, 48)

No evidence that any licenses were refused, revoked, or suspended during the scope of the engagement, but it also found that the Commissioner of Finance has not established any rules or procedures for holding a hearing should it be necessary.

Finding: Towing Operators Excessively Charging, Need Stricter Oversight

According to City ordinance, "in no event" should towing companies charge a fee in excess of \$150.00 (plus applicable taxes) for removal, towing, and storage up to 24 hours with storage costs not to exceed \$40 per day. (Exhibit 49) The City's former Towing Company application for did not accurately reflect this ordinance and shows a not to exceed amount of \$115 for towing and storages charges not to exceed \$25 per day. (Exhibit 50) An updated application posted to the website during the course of this engagement does not list any maximum amount, allowing the operator to handwrite an amount of their choosing. (Exhibit 51)

The audit found that multiple towing companies either left the charges lines blank, or worse, intentionally crossed out the not to exceed amounts and entered their own values well in excess of the lawful amounts. (Exhibit 52) Despite these changes to the applications, licenses were still issued to these operators. Additionally, operators will post signage in parking lots that detail their towing fees, often in excess of the fees allowed by ordinance. (Exhibit 53)

FINANCIAL

<u>Finding: The City Does Not Have Formalized Policies For The Collection, Safekeeping, And Transit Of Payments Collected Outside Of The City Payment Center</u>

When any individual makes a payment to the City, it is critical those transactions are immediately entered through a cash register and a receipt is provided to the customer. Those funds, with an accounting of their purposes, should accompany a cash report to the City Payment Center for deposit into City accounts daily. Any transmission of cash or checks should be done safely, securely, and with as little risk to City employees as possible.

The audit found the CPC does not have any formal policies for how or when City funds collected by departments need to be routed to the Department of Finance and deposited into City accounts.

After collection, money may not be deposited for up to a week, with payments sitting in a small safe at the CPO. Within NBD alone, at least four employees are collecting payments and sending or delivering money to the CPC for deposit. This task is not completed with consistency and coordination between the various employees.

When payments do are sent to the City Payment Center, located in City Hall, some staff hand-walk payments over while another sends payments via inter-office mail. Inter-office mail envelopes get placed in a mailbox in the otherwise unsecured mailroom at City Hall for eventual collection by Department of Finance staff. Those who walk payments over do not have a consistent process for logging receipt of these funds received by the CPC.

Finding: Account Balancing Practices Only Confirm Bank Account Balances; Reconciliation Of Actual Activity Is Not Completed By Either Department Of Finance Or Individual Departments

The current practice for balancing City accounts is for a Department of Finance employee to confirm the monthly bank statement against the receipts produced by the City cash registers. Any discrepancies are reconciled, and the process is considered complete.

The audit found that neither City accountants nor departmental staff balance or reconcile the register receipts against cash reports or any reports or spreadsheets of the actual activity which generated the revenue. A more complete reconciliation was found from a 2013 file; this practice is no longer being done. (Exhibit 54)

In a review of the general ledger, backup information justifying revenues as shown on cash reports was rarely available. No verification is completed by departments to confirm funds were correctly deposited into the appropriate revenue accounts.

Without backup information and without proper reconciliation, errors on cash reports would be deposited accordingly and never adjusted.

Finding: Not All Revenues Go Directly Through The Bureau Of Accounts

Money generated by any department should be properly documented and recorded and should flow through the Department of Finance into City bank accounts. These revenues, and any associated expenses, should clearly be accounted for on the City's general ledger.

The audit identified that the City Clerk has four bank accounts controlled by the department and not the Department of Finance. Staff from the Clerk's office deposits revenues from dog, marriage, and conservation licenses directly into their bank accounts and then draws a check from each of those accounts and submits that payment to the Department of Finance, where it is deposited into a single City Clerk Licenses account.

Per New York State (NYS) law, the City is required to remit a portion of proceeds from these licenses to NYS. The information provided to the Department of Finance only provides basic counts of revenue received with license type. The backup information does not provide any details to verify payments to NYS are being made accurately and on-time.

Finding: City Licenses Revenue Down \$135,000, More Than 80%, Since 2016

Revenue collected for city licenses used to be a reliable six-figure source of income for the City, with more than \$169,000 collected in the fiscal year ending June 30, 2016. In the years since, however, revenue has steadily declined. The audit recognizes that Covid restrictions resulted in lower revenues for that period but it's clear licensing operations never recovered from that.

The audit found that the City's licenses account is hemorrhaging funds. Regular annual decreases in revenue in excess of 10% demonstrates a concerning trend for this vital City function.

| City of Syracuse Licenses Account 425450 | | | | | |
|--|--------------|------------|---------------|--|--|
| | | Year-over- | Year-over- | | |
| | Annual | Year | Year | | |
| Fiscal Year | Revenue | % Change | \$ Change | | |
| 2015-16 | \$169,423.00 | | | | |
| 2016-17 | \$145,589.00 | -14.1% | (\$23,834.00) | | |
| 2017-18 | \$138,112.00 | -5.1% | (\$7,477.00) | | |
| 2018-19 | \$110,778.00 | -19.8% | (\$27,334.00) | | |
| 2019-20 | \$51,710.00 | -53.3% | (\$59,068.00) | | |
| 2020-21 | \$42,775.00 | -17.3% | (\$8,935.00) | | |
| 2021-22 | \$47,630.00 | 11.4% | \$4,855.00 | | |
| 2022-23 | \$36,142.50 | -24.1% | (\$11,487.50) | | |
| 2023-24* | \$29,930.00 | -17.2% | (\$6,212.50) | | |

^{*}Year to Date (As of June 6, 2024)

<u>Finding: Charges For Bounced Checks (Non-Sufficient Funds Charges) Are A Departmental Choice</u> <u>And Not Assessed Equitably</u>

Whenever someone pays the City with a check which cannot be cashed (bounced check), the City does not incur a fee due to an agreement with the financial institutions to waive those fees for maintaining certain levels of deposits. Despite not paying fees, the City does incur administrative expenses as they take steps to reverse the payment and update records to show the proper account balance. Many private organizations choose to pass on any banks fees resulting from bounced checks, plus added charges for the administrative burden.

The audit revealed that non-sufficient funds (NSF) charges (bounced check fees) are not consistently charged across the City with the Department of Finance indicating these are a "departmental choice" with some departments electing to ignore the charges.

Finding: Few Official Waiver Policies Exist; Some Events Do Not Pay Fees

Licenses and permits are established to protect the health and safety of the public and protect the integrity of games of chance. These permissions have associated costs which reflect the administrative

efforts required to review, issue, and enforce those permits and licenses. Any waivers of fees should be based on a policy.

The audit found that Peddlers and Solicitors have statutory waivers for "any honorably discharged service-member who has procured a license as provided by the General Business Law of the state of New York, who is disabled as a result of injuries received while in the military service of the Univer States and who has otherwise complied with Section 32 of said General Business Law." (Exhibits 55, 56) No other licenses or events have ordained waivers of fees. The audit revealed, however, that it was commonly accepted practice to not charge the St. Patrick's Parade committee the prescribed fees for holding the annual St. Patrick's Day parade downtown each March.

Without formal legislation waiving charges, these fees are required to be paid. Legislators and the administration should seek to formalize waiver policies and procedures to ensure compliance.

Finding: City Inter-Office Mail Distribution May Be Partially to Blame for Licensing Delays

The United States Post Office delivers mail directly to departments in City Hall and a small mailroom located on the first floor of City Hall is used by departments to transfer mail from one department to another. Mail which is incorrectly delivered or for another department often gets placed in the correct department's mail slot in the mail room.

The audit found that a mailbox in that mailroom marked "Licensing" is not checked on a regular basis. (Exhibit 57) A regular review of this mailbox shows it commonly contains uncollected mail for weeks at a time, including Certified Mail and other items which appear to contain applications and payments. Failure to collect mail in a timely manner appears to be a common practice among offices with locations not at City Hall.

License applications as of 2014 should be directed to the Central Permit Office, but outdated license applications available online along with past mailing practices may cause mailings for licenses to be sent to the Commissioner of Finance. A simple letter proactively informing current license holders of the CPO's change of address could alleviate that problem.

Finding: The City Has No Dedicated In-House Expert For Their Financial Software

The City of Syracuse uses more than 100 software programs which assist city staff in carrying out their responsibilities. One of the most important software programs, PeopleSoft, is the City's general accounting software.

The audit found that the City does not have a dedicated in-house expert for that program, instead relying on Onondaga County staff to generate special reports, troubleshoot issues, and address program changes. Often, working on City issues becomes a lower priority than working on County issues.

Officials felt a dedicated enterprise lead or subject matter expert, who is a City employee, would benefit City operations and help address many of these issues.

RECOMMENDATIONS

ORGANIZATIONAL

Recommendation: Create A New Department Of Permits, Licenses, And Inspections

Amend the City Charter to create a new department of Permits, Licenses, and Inspections, led by a Commissioner reporting directly to the Mayor and empowered with enforcement abilities. This new department should inherit all licensure responsibilities granted to or assumed by the various divisions, offices, departments over the years, except those licenses currently issued by the City Clerk (Marriage, Dog, and Conservation).

Overseeing all other City approvals and permissions, including business licensing, building permitting, enforcement of fire and building codes, as well as all City ordinances, one dedicated Commissioner can establish a departmental mission and set objectives for a modern standalone permissions and code enforcement department. A new department can create a more efficient process and better ensure the public's safety.

Recommendation: Relocate The Central Permit Office To City Hall

City Hall is the hub of government and where residents or those doing business here should be able to perform any transaction they need to with City government. Whether it's paying taxes, appealing a parking ticket, or applying for a permit, all customer-centered activities and information should be available at City Hall, including the CPO.

While its first-floor location at One Park Place provides better access than the City offices on the higher floors, its new "off-to-the-side" location makes it difficult to find and the public is still adjusting the office's move nearly a year later. While relocation might have been warranted, this function should be moved to City Hall, creating a true one-stop shop for all City services. One Park Place should be reserved for auxiliary and administrative offices.

Recommendation: Establish An Organizational Mission And Set Departmental Goals

Until a new Department is established, the CPO, under the direction of the Deputy Commissioner of Code Enforcement and Zoning, should act in that capacity and clearly establish more organizational safeguards including a mission and structure which allows for the effective administration and enforcement of the areas it oversees.

The CPO should fully embrace Licensing functions and seek to overhaul the Revised General Ordinances to simplify and clarify City licensing permissions and provide more enforcement abilities. This department should also work to create new budget activity indicators and set revenue goals, enforcement goals, and goals related to review turnaround times.

Recommendation: Update And Increase Signage And Information At Central Permit Office, Former City Hall Commons, City Hall, And Website

At the new CPO offices, signage should be installed at all doors to the building, and additional A-frame signage is warranted along the sidewalk to provide clearer information about the new CPO location. The City could also use their own right-of-way to provide clearer directions to their offices.

At the former City Hall Commons, the City should immediately remove signage located in a display case showing the offices located at that location and update other information. QR codes redirecting to "Page Not Found" links should be updated, and clearer directions for the new offices should be installed. Officials may consider printed maps or a new QR code which opens a digital map. Wayfinding signage, installed in the City's right-of-way, is an additional option that should be considered.

At City Hall, outdated directories on the first and second floors should be updated with modern digital versions and signage should be added to provide helpful information to direct customers to new CPO offices. Adding a staffed information desk would provide a more positive customer service experience.

At the City website, printable maps should be uploaded along with pictures of the new offices, along with additional details about the CPO including services offered, where to park, and what to expect when visiting the office.

NOTE: In their response to the draft audit report, the administration notified the Office of the City Auditor of their work to install new, more visible signage at One Park Place and provide a handout at City Hall for those looking for One Park Place offices. This Office is pleased to see positive steps being taken to improve the customer experience.

Recommendation: Overhaul and Standardize Appearance of and Signatories for Physical Permits, Licenses, and Certificates; Increase Security Measures

City officials should overhaul the appearance of business licenses and permits and standardize these documents to provide more information to the public and improve enforcement efforts.

Expiration dates and certificate holders' names/addresses should be prominently displayed and readable from a distance. Officials should utilize different colored inks for different expiration years, similar to how the County Health Department issues health permits, or Department of Motor Vehicles inspection stickers. Other security measures such as the use of non-copyable or polymer paper and identifiable, color-contrasting raised seals can also prevent forgeries, tampering, and unauthorized reproduction.

Likewise, these documents should have uniformity in the City official responsible for signing and enforcing them. One City official should oversee all licensing and permitting, and the various documents should be signed by that individual.

Recommendation: Establish Procedures for City Mail Distribution, Collection, and Safeguarding

The administration should immediately formalize procedures to ensure mail and other documents transferred between departments is delivered in a safe and timely manner. Dedicated mail runners should ensure documents which need to be moved between offices at different locations are not being forgotten. Too many documents for offices at One Park Place, the Airport, and other off-site City offices are left sitting in the City Hall mailroom for weeks at a time.

City officials should also do more to ensure safety and security of mailings, both incoming and outgoing. Like most other doors in City Hall, the unattended mail room should be locked to prevent unauthorized access.

OPERATIONAL

Recommendation: Conduct Comprehensive Review of Business Licenses; Re-Prioritize the Permissions and Approvals Needed to Meet the Goals of a Modern City

City licensing ordinances are badly outdated with some regulations written before seat belts were mandatory in vehicles and before rideshares replaced taxicabs as the way to travel. Licensing regulations are scattered in different areas of the Revised General Ordinances making it confusing for the public and City officials to locate clear rules. License and permit fees aren't often revisited after being established.

As part of a Charter update to create a new Department of Permits, Licenses, and Inspections, the CPO should conduct a comprehensive review of all licenses, permits, and certificates of use required by businesses and streamline them all into one comprehensive business licensure ordinance. These updated rules should reprioritize the permissions and approvals needed to meet the goals of a modern city and should clearly assign oversight and responsibility to the new Commissioner of this department.

As part of this review, each department should each perform an exercise related to licenses and permits, reconsidering their priorities after assessing current laws, updated fire and building codes, goals of the department, and the department's future. Outdated licenses should be removed, and emerging licenses should be added to protect the public.

This revised General Licensing ordinance should update fees to reflect current expenses, state mandates, and rising labor costs. Bonding and insurance requirements should be updated to current City minimums. New ordinances should also formally require the License Coordinator to furnish applications to expiring licensees prior to their license expiring. Fines should be increased for failure to get a license and news fines should be established for failure to properly display a license.

Recommendation: Consider New General Business License; License Newly Emerging Businesses

The City should consider a new general business license for all businesses. This license would require any business which operates in a fixed or transient location in the City to apply for and receive a license recorded with the Department of Permits, Licenses, and Inspections.

Requiring every business to register provides City officials with owner information, hours of operation, the nature of the operation, and another tool to punish non-compliant businesses.

Short of a general business license, the City should conduct a regular review (at least every two years) of newly emerging businesses which may be candidates for a license. Certain businesses, such as those which have health or safety concerns, a disproportionate number of calls for emergency services, or state mandated inspections by local resources may be candidates for a license. Examples include:

Amusement:

- Axe Throwing
- Escape Rooms
- Rock Climbing

- Bowling Alleys
- Billiard Halls
- Theaters

Private Establishments:

- Country Clubs
- Private Clubs
- Fraternities
- Sororities

Trades & Contractors:

- Sign Contractors
- Paving Companies
- Roofing Companies
- Concrete Companies
- General Contractors
- Auto Mechanic Shops
- Property Managers
- Screen Printers

Vehicles & Transportation

- Liveries
- Shuttles
- Scooters
- E-Bikes
- Delivery Vehicles
- All-Terrain Vehicles (ATVs)
- Electric Vehicle (EV) Charging Stations

Other Businesses and Generally

- Tattoo Parlors
- Piercing Parlors
- Liquor Stores
- Gas Stations
- Drone Operators
- Kennels/Dog Daycares
- Garage/Estate Sales

Recommendation: Require Applicants to Provide More Business Information, Identification

When applicants register for a license, they should be required to provide key business documents proving their business is properly operating with New York State and Onondaga County. They should also personally appear before the City and provide photo identification.

Business owners should have evidence of their business incorporation, and should be able to provide filed documents, correspondence with the IRS granting a tax ID number, Onondaga County D/B/A, and a

Certificate of Authority, allow them to collect sales taxes. Having these basic business documents shows that someone is serious about conducting business in our community.

City staff should require operators to furnish this basic information to receive a license.

Recommendation: Develop Better Relationships with Onondaga County Departments and New York State Agencies

Any person or business registering for a license in the City of Syracuse should have filed their business with the New York State Secretary of State and the Onondaga County Clerk's Office, and depending on the type of business, other State and/or County agencies. Close relationships and open communication with these partners in government can provide useful, real-time information about business formation and dissolution and help ensure proper business licensure in the City.

The CPO should develop meaningful relationships with the Onondaga County Clerk, the Onondaga County Health Department, the New York State Secretary of State, and other key state departments involved in permit reviews to open lines of communication and create a system for information sharing. A strong working relationship helps build trust and work toward mutual goals but also provides key information about businesses operating in Syracuse.

This report notes that at the urging of the Office of the City Auditor, the CPO leadership has reached out to the Onondaga County Clerk and has begun receiving weekly reports of newly registered businesses in the City. That information can, in turn, be used to proactively alert businesses to their licensing and permitting needs. This is an excellent example of cooperation and communication between governments to deliver for their residents.

Recommendation: Corporation Counsel Should Update Ordinances and Provide Guidance on Issuing Licenses with Insurance and Bonding Requirements

The Office of the Corporation Counsel should work closely with the License Coordinator and their superiors to ensure necessary insurance and bonding requirements are being met prior to issuance of a license.

Insurance and bonding requirements vary significantly depending on the license being issued. Some of these requirements have not been updated since the legislation was enacted.

The Corporation Counsel should ensure that these minimum insurance thresholds and bonding requirements meet the City's current needs, and then work with the License Coordinator to ensure applicants are providing the proper paperwork to limit or reduce liability and risk for the City.

Recommendation: Make Significant Website Updates; Provide More Business Licensing Resources, Fee Schedules, Better Contact Information

City officials at the CPO want to make more services available online but finding information now is too difficult. The City should overhaul links on the website to provide the right information on business resources pages and ensure customers get the information they need when they search.

The Licenses and Permits pages should be more prominent and should include fee schedules, rules and regulations, and contact information for key staff. While research tools in Camino are useful, customers should be able to find out more about requirements, costs, and processes without having to create a user account.

Recommendation: Develop, Distribute, and Promote Licensed Businesses Lists

The City should be actively looking for new ways to ensure compliance among businesses which should be licensed. Companies and individuals who follow the rules and pay fees to be licensed should be actively promoted by the City as qualified and licensed businesses who are doing right by our community.

The CPO should develop a public list of licensed businesses, of all types, who are lawfully able to conduct business in the City of Syracuse. This list should be promoted prominently in their offices, on the City website, and in other City communications. This list can also serve as a tool to increase license renewals.

Recommendation: Create Online Dashboard to Show Active Permits and Licenses

When a business fails to have their license displayed, or a building project doesn't conspicuously post their permit, there's no way for the public to know if the work is legally taking place. This is particularly true of work in the right-of-way (streets and sidewalks) where there's not an easy place to display a permit.

The City should develop an online dashboard with map which allows the public to view the active business licenses and building permits across the City. This useful tool would shed light on which businesses and building projects are properly registered with the City.

As an additional step, the City should provide contractors digging in the right of way a "lawn sign permit" they can place at the site of the work with a QR code directing the public to the dashboard to understand what work is being performed and by whom.

Recommendation: Require License Coordinator to Furnish Renewal Applications

All City Ordinances covering Licenses should be amended to require the Licensing Coordinator to furnish a renewal application and packet including updated City information to all current license holders sixty (60) days prior to their license expiring.

Relicensing businesses boosts compliance and generates revenue. Taking simple steps to improve renewal rates would provide effective returns on the investment.

Recommendation: Empower New Department with Proper Enforcement Powers

The new Department of Permits, Licenses, and Inspections should have clear enforcement powers and be properly staffed with enforcement officials to carry out that essential function. A significant portion of enforcement work can be proactive and does not require a sworn officer, however, under the current operation, enforcement efforts must be coordinated with the Syracuse Police Department, causing delays and a strain on police resources.

Qualified and trained ordinance enforcement officers, directly under the supervision of a Commissioner of Permits, Licenses, and Inspections, can conduct a variety of activities aimed at improving compliance and rooting out illegal business operations.

Recommendation: Begin Reissuing Waste Hauler Licenses from the Central Permit Office

Waste Hauler Licenses represent a check on a dirty and dangerous job; garbage trucks are heavy and smelly and were rightfully regulated when the waste hauler ordinance was established. These business licenses should continue to be issued.

The CPO, with the support of DPW, should reconstitute this license and properly oversee its administration and enforcement. All permits and licenses should be funneled through the CPO, instead of being issued directly from individual departments.

Recommendation: Establish and Formalize a Process for Appeals of Revoked, Suspended, or Denied Licenses

Several licenses have clear appeal language, but most do not; the Commissioner or Finance may establish these policies but has not done so. These duties should be transferred to a new Commissioner of Permits, Licenses, and Inspections, but until then, the Commissioner of Finance should establish these rules.

The Commissioner should work with a third-party office, such as the Bureau of Administrative Adjudication, to formalize a process which can provide a fair appeal to anyone who has a license revoked, suspended, or denied. A formal process should be in place before it is needed.

Recommendation: Establish an Ordinance Enforcement Tip Line

The CPO or a new Department of Permits, Licenses, and Inspections should establish a tip line where concerned citizens and other members of the public can file anonymous complaints related to business licensure and building permits.

A dedicated hotline for complaints can put additional pressure on unlicensed companies to become compliant and discourages performing work without proper permits.

Recommendation: Assign or Hire Dedicated Experts to Program Manage the More Than 100 Programs Used by City Staff

A reformed IT department should be overseeing all software programs and applications being used by City departments. That department should employ subject matter experts who oversee the more than 100 different programs used by the City staff in carrying out their duties.

From everyday programs like the Microsoft Office Suite programs like Word and Excel, to legacy programs like AS400 and IPS, and emerging programs like Camino and Kronos, the vital electronic tools City staff use daily are becoming cumbersome to manage. Each one should have an assigned program leader who is the functional lead on administration and licenses, troubleshooting and user issues, long-term planning, and communicating with vendors.

In general, the City should be investing in programs with cross-departmental application and should be taking a very hesitant approach to any new programs. While not always perfect, the programs currently being used are meeting the City's needs.

FINANCIAL

Recommendation: Establish Policies for the Collection, Storing, Transit, and Deposit of Payments

The Department of Finance should immediately establish clear rules for how payments are handled. The Department should implement formal policies, signed by City staff, for collection of payments and the safekeeping of those payments until they are deposited.

The Department should ensure all money collected is transferred to the City Payment Center daily and kept in a vault and under surveillance until deposited. The City should have formal policies regarding who can transport payments, how and how often that process happens, and they should create a log of the money trail with receipts.

<u>Recommendation: Reconcile Payments Received Against Actual Activity Which Generated the Revenue</u>

Improvements to the reconciliation process can be made, beginning with standing requests for adequate backup information.

Accountants should be reconciling receipts against the actual activities which were revenue generating, not just confirming bank balances match deposits. They should be investigating supporting documentation and confirming details of customer-city transactions more than city-bank transactions. The department should be skeptical of funds it receives from operating departments and should make them prove the source of their revenues.

Similarly, revenue-generating departments should take ownership of the revenue they generate. Staff in those departments should monitor money coming in and then ensure their receipts are being properly booked to the correct revenue accounts by the Department of Finance.

Recommendation: Require Cash Reports Be Accompanied by Supporting Backup Documentation Proving the Source of the Funds

The Department of Finance should require cash reports to include additional backup information clearly detailing the source of the funds. With dozens of different license types being paid into the City's Licenses account, the Department should be skeptical of funds it receives from the CPO (which is managed entirely by another department). They should require them to prove the source of their revenue. Confirming they have received all City funds is a primary responsibility of the Department of Finance.

For licenses, backup details should include, at least, a spreadsheet of itemized activity showing the date, amount received, payee, and license type and number. Copies of approved licenses and a copy of the physical payment or confirmation of e-receipt should also accompany each payment record, providing a complete trail of information proving payment was received and the license was issued.

According to the Charter, the Commissioner of Finance should be submitting a quarterly report of entertainment licenses issued to the City Clerk, along with an annual report. Without backup documentation from CPO staff, the Department does know license types and cannot provide this report.

Recommendation: Update Cash Report Form, Create Electronic Format

The existing cash report form needs modernizing, and the City should create an electronic version with drop-down menus and other guardrails and details to make reporting easier.

Recommendation: Charge an NSF (Non-Sufficient Funds) Fee Anytime a Check Bounces

City officials should take a stronger stand against those who write bad checks. Anytime a payment must be reversed, it takes time to update accounts, rescind licenses, and apply late fees.

Writing a bad check is a crime, and it has an administrative impact on City staff which in and of itself is worthy of a fee. The administration should present legislation to the Common Council implementing a standardized fee for all NSF payments.

Recommendation: Ensure Commissioner of Finance Controls All City Bank Accounts

All revenue generated by activities conducted by City employees in the course of their work should flow directly through the Department of Finance for deposit into City accounts. These revenues should be appropriately recorded in the City's general ledger, showing a transparent trail of receipt through deposit. These accounts should be managed by the Commissioner of Finance.

Departments which maintain their own bank accounts create an unnecessary and risky step in the financial management process. The Commissioner of Finance should conduct a review of all departments and confirm the city's banking accounts are managed centrally under Department of Finance control.

Recommendation: Perform Compliance Checks Before Approving Licenses and Permits; Applicants Should be Current on All City Charges

Anyone seeking to do business in the City of Syracuse should be current and fully paid up on all on city charges. The City should implement a mandatory review which ensures an applicant is not in arrears on any City payment, including taxes, water, sewer, and sidewalk charges, parking tickets and penalties, code violations, or legal judgements.

For organizations which are not sole proprietors, this review should extend to all principals of the firm, and when design professionals are involved, they too should be screened to ensure they are current on charges and are in good standing.

Any individual or company with any past due or outstanding charges should be required to address those issues and pay them in full before being approved to do any other business in the City.

Recommendation: Fine Businesses for Failure to Properly Display a License or Permit

City licenses, permits, and certificates of use should be prominently displayed for the public and enforcement officials to see. Failure to properly display a City license or permit may mean the business is not in compliance with local rules, putting the public at risk. It's in everyone's interest that businesses proudly display these basic government approvals.

City officials should take a stronger stand and improve overall enforcement efforts and institute measures which would increase compliance. When a business fails to properly display a city license, permit, or certificate, it should result in an administrative fine.

Recommendation: Do More to Protect the Public Against Credit Card Skimmers, Third-Party Apps, and Other Credit Card Machinery

Credit card readers are in nearly every business across the City, with some venues – including City and County buildings – flat out refusing to accept cash.

Every gas pump, checkout lane, and vending machine has a credit card reader, not to mention the hundreds of home-based businesses who use Stripe, Square, or another similar platforms to conduct business. With credit card skimmers, data breaches, and privacy concerns becoming all too common in our changing world, government is obligated to ensure reasonable protections exist to ensure the public's safety as technology evolves.

City, County, State, and Federal leaders should enact new legislation to strengthen privacy laws, increase punishments for data theft, improve anti-tampering technology, set caps on maximum fees, and require routine inspections of equipment used by venues who refuse to accept fiat currency.

Recommendation: Formalize And Codify Waivers Of Fees For Events Including The St. Patrick's Day Parade

Peddlers and Solicitors who are honorably discharged from the military are exempt from paying license fees. Likewise, certain community events or non-profit functions promoting a good cause may be candidates for a fee waiver for their license or permit.

No policies or legislation exist to provide for a waived license or permit fee but events including the St. Patrick's Day Parade do not pay fees for the various permissions required to hold that function. Any events for which fees are regularly waived should be legislated accordingly and a clearer process for a fee waiver should be instituted.

Permits, licenses, and registrations

- 1. Depending on the type and size of your business, you may have to obtain other business permits, licenses, and registrations from New York State. Some of these must be in place before you begin business. For help, see:
 - New York Business Express
 - o Department of State
 - o Publication 20, New York State Tax Guide for New Businesses.
- 2. Many counties, cities, towns, and villages also require local permits and licenses. Check with the local authorities where your business is located and where you will be transacting business.

Page last reviewed or updated: January 28, 2017



Municipal Clerks Guide to Bingo and Games of Chance Licensing

I. Bingo

Local Law or Ordinance Required

Bingo shall only be conducted in a municipality which has enacted a bingo local law or ordinance, pursuant to Sections 477 and 478 of Article 14-H of the General Municipal Law ("GML").

Bingo is regulated pursuant to Article 14-H of the GML, Article 19-B of the Executive Law and the New York State Gaming Commission ("Commission") Bingo Rules and Regulations (Title 9 Executive E, Codes, Rules and Regulations ("Rules").

Procedures for Registration and Issuance of a Bingo Identification Number

- 1. The initial step is for the applicant organization to file Form 1A (Application for Registration and Identification Number) with the Commission (see Part 4810.1 of the Rules).
- 2. If an identification number is issued, the Commission will send a copy of the approved Form 1A to the municipal clerk and the organization, along with a notice containing the identification number assigned to the authorized organization.

<u>Note</u>: Any authorized organization which possesses an identification number, but has not been licensed to conduct bingo for a period of one year, must file a new form 1A prior to applying for a license (see 4810.1 of the Rules).

Procedures for Issuing Bingo Licenses

- 1. Forms BC-2 (Application for Bingo License), BC-2A (Officers and Directors of the Organization; Members in Charge of Games; Affiliated Organizations Assisting at Games; Assistants to Members in Charge of Games) and Form BC-2B (Dates, Hours and Rent of all license periods to be held; expenses) are filed in triplicate by the applicant authorized organization with the municipal clerk (see Section 480 of the GML and Section 4811.4 of the Rules). The applicant organization is urged to keep a copy of the application for its own files.
- 2. No application shall be accepted by the municipal clerk unless it bears the identification number assigned to the organization by the Commission, and is accompanied by the license fee (see Section 4811.5 of the Rules). The municipal clerk retains one (1) copy of the application, forwards one (1) copy to the local law enforcement agency, and forwards one (1) copy to the Commission.
- 3. The municipal clerk shall make an investigation of the qualifications of each applicant and the merits of each application, with due expedition after the filing of the application, in accordance with Section 481 of the GML. The clerk records the findings and determinations on Form BC-4 (Findings and Determinations for Bingo License). (See Section 4812.4 of the Rules). At least seven (7) days must elapse between the time the original application is filed with the clerk and the time when the clerk completes the Form BC-4 (see Section 4812.2 of the Rules).
- 4. If the organization qualifies for licensure, the municipal clerk issues a license by completing Form BC-5, License to Conduct Bingo, in its entirety (see Section 4812.5 of the Rules, and Sections 480 and 481.1(a) of the GML). The municipal clerk completes and issues the license (Form BC-5) in triplicate. The original license (Form BC-5) is provided to the applicant organization. A copy of the license and application package (which includes Forms BC-2, BC-2A, BC-2B and a copy of Form BC-4) is forwarded to the local law enforcement agency; one (1) copy of the license and the original application is retained by the clerk; and one (1) copy of the application package is forwarded to the Commission, at least five (5) days prior to the date of the first licensed period (see Section 4812.4 of the Rules).

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- 5. If the application is denied, the municipal clerk, after consulting with the municipal attorney, shall give due notice to the applicant, in writing, of a hearing to be held upon the qualification of the applicant organization and the merits of its application. A copy of such notice shall also be sent to the Commission (see GML Section 482, and Section 4812.3 of the Rules). A copy of the hearing determination must be forwarded to the Commission. Appeals of municipal determinations to the Commission are conducted pursuant to Part 4830 of the Rules.
- 6. Once licensed, organizations may amend a license using Form BC-6 (Application to Amend Bingo License), pursuant to Section 4813.1 of the Rules.
- 7. Financial statements of Bingo operations must be filed with the clerk of the municipality and the Commission. The rules regarding such are set forth in Part 4821 of the Rules. Some of the highlights are illustrated below:
 - a) Each licensed authorized organization shall execute and file an original of the form BC-7 (and in the case of limited period bingo, on form BC-9) with the clerk of the municipality within seven days after the conclusion of each bingo occasion. Form BC-7 does **not** need to be filed with the Commission.
 - b) The Commission requires every licensee to attach and file with its form BC-7 an additional statement (form BC-7B), setting forth each item of receipt relating to the sale of bingo opportunities, the names of the workers charged with such sales, bingo supplies sold and rent received (see 4821.2 of the Rules).
 - c) Upon filing form BC-7 and 7B, the licensee shall pay to the clerk of the municipality as an additional license fee a sum in the amount of three per cent (3%) of the reported net proceeds, if any, for the occasion covered by such statement (see Section 4821.3 of the Rules).
 - d) Within 15 days after the end of each calendar quarter during which there has been any occasion of bingo, a summary financial statement shall be filed on form BC-7Q. The licensee shall execute and file the original of the quarterly report with the Commission and a copy with the clerk of the municipality. The licensee shall retain a copy of each report for its permanent records (see Section 4821.1 of the Rules).
 - e) The municipal governing body shall not issue a further license to an authorized organization found to be delinquent in filing its BC-7 or BC-7Q. Upon such finding or upon notification to the municipal governing body by the Commission, the municipal governing body shall forthwith suspend any existing license and cancel the unexpired term thereof. If a licensee fails to file a BC-7 or BC-7Q as required within five days after notification by the municipal governing body or the Commission of their delinquency, their license shall be suspended pending the filing of the BC-7 or BC-7Q (see Section 4821.5 of the Rules).
 - f) If the BC-7 or BC-7Q filed by a licensed authorized organization is not properly verified, or not fully, accurately and truthfully completed, no further license shall be issued, and any existing license shall be suspended until the default has been corrected (see Section 4821.6 of the Rules).

Miscellaneous Bingo Requirements

- 1. Each licensed authorized organization shall maintain a bingo account which shall be designated the "special bingo account" and which shall be in the form of a regular checking account. Into this account shall be deposited all and only monies received by the licensed authorized organization from the conduct of its bingo operations, such as profits from the sale of admission cards, regular bingo cards, extra regular bingo cards, special game cards, limited period bingo cards, supplies, rentals of premises for the conduct of bingo, if any, and all other receipts derived from the conduct of bingo, less the amount awarded in cash prizes. Deposits shall be made intact into the "special bingo checking" account no later than the next business day following the date of a bingo occasion. (See 4821.8 of the Rules).
- 2. All expenditures of bingo funds shall be made payable to persons or entities providing goods or services by check drawn on the "special bingo account" and such checks shall not be made payable to "cash." All monies derived from the conduct of bingo must be deposited and kept in banks located within the boundaries of New York State.
- 3. A licensed authorized organization may deposit bingo proceeds into an interest-bearing account or federally insured money market account, provided such an account shall be designated the "special bingo savings account." All deposits into such an account shall be made by check drawn on the "special bingo account." All withdrawals from a "special bingo savings account" shall be deposited into the "special bingo account" and disbursed in accordance with the Rules.

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- 4. Every licensee shall designate its president or chief officer to receive from the bank the monthly bank statements, cancelled checks of the special bingo account and the records of all other bingo accounts who shall verify and recording the BC-7's, BC-7Q's, original bank deposit slips, books and records with the treasurer at least monthly. (See Section 4821.16 of the Rules).
- 5. Bingo games conducted on commercial premises, or premises leased from other than another licensed bingo organization, require that the lessor be licensed as a commercial lessor. Municipal clerks approached by authorized organizations or commercial entities interested in leasing their premises for the conduct of bingo, are urged to contact the Commission for assistance (see Part 4814 of the Rules).
- 6. Lease agreements between two licensed authorized organizations, and the rental fees to be charged, require prior Commission approval. The rules describing the general conduct of Bingo are set forth in Part 4820 of the Rules.

II. Games of Chance

Local Law or Ordinance Required

Games of chance, which include raffles, bell jar tickets and casino/carnival games using cards, dice and wheels, shall only be conducted in a municipality which has enacted a games of chance local law or ordinance, pursuant to Sections 187 and 188 of the GML. Games of Chance are regulated pursuant to the Article 9-A of the GML and the New York State Gaming Commission Games of Chance Rules and Regulations.

Types of Games of Chance

1. Casino-nights/Las Vegas Nights

Commonly known as "Las Vegas Nights," these games of chance events are conducted under a one-day license between the hours of noon and midnight on Sunday through Thursday, and from noon until 2:00 a.m. the following day on Friday, Saturday. (No games of chance shall be conducted on Christmas Day and Easter Sunday, pursuant to Section 195 of the GML). Games of chance are also conducted frequently at field days and carnivals. The general conduct of games of chance is outlined in Part 4622 of the Rules.

The single prize at such events cannot exceed \$300, excluding merchandise wheels, in which a single prize awarded cannot exceed \$250. The series of prizes awarded during a games of chance licensed period cannot exceed \$2,000, excluding merchandise wheels, in which the series of prizes awarded cannot exceed \$10,000 per wheel. (For more information concerning prize limits and operating starting banks for games of chance, see Sections 4622.12, 4622.13 and 4622.22 of the Rules).

Only bona fide members for one year or more of the licensed organization or a bona fide member for one year or more of an organization that is an auxiliary of the licensed organization and has obtained a games of chance identification number from the Commission, may conduct or assist in the conduct of Las Vegas Nights and Bell Jar games of chance (see Section 4622.3 of the Rules).

Municipalities with police departments are required under Section 194 of the GML to exercise rigid controls over licensed games of chance and, in accordance with Section 195-f of the GML, collect an additional license fee in the amount of five percent (5%) of the licensed organizations' net profits derived from the games to help defray the cost of administering the law, such as making on-site inspections. Municipalities have the option of delegating that authority to the county sheriff. In municipalities that do not have a police department, the local law shall designate the county sheriff as the Chief Law Enforcement Officer ("CLEO"). When the county sheriff is delegated the CLEO, the additional license fee shall be remitted to the county fiscal officer, to defray the cost of the sheriff's administration of the Games of Chance Licensing Law (see Section 4624.3 of the Rules).

2. **Raffles**

There are two categories of raffles:

The first raffle category, which is licensed by a municipality utilizing the standard games of chance licensing procedures, is one in which an authorized organization intends to derive net proceeds from a single raffle that will meet or exceed \$5,000, or net proceeds from a series of raffles during a calendar year in which the cumulative net proceeds will meet or exceed \$30,000 per calendar year.

An organization applying to conduct a Category One raffle with net proceeds over \$30,000 must:

- 1) Apply for and obtain a Games of Chance Identification Number from the Commission;
- 2) File a Games of Chance License application with their municipal clerk using forms GC-2, GC-2A, and GC-2B, along with a \$25.00 annual license fee;
- 3) Obtain a Games of Chance License issued by the municipal clerk on Form GC-5;
- 4) Maintain a special raffle checking account into which all raffle proceeds will be deposited, and from which such funds will be lawfully disbursed in accordance with Section 4624.21 of the Commission's Rules and Regulations;
- 5) File a financial statement of raffle operations on Form GC-7R with the municipal clerk and the Commission by January 30th of the following year; and
- 6) Remit an additional license fee to the municipality, if applicable assessed at two percent (2%) of the net profits over \$30,000. (Note: There is no additional license fee paid on the first \$30,000 derived in net profits).

If the net proceeds derived from a single raffle will be between \$5,000 to \$29,999 an authorized organization must:

- 1) Apply for and obtain a Games of Chance Identification Number from the Commission;
- 2) File a verified statement with the municipal clerk and the Commission on Form GCVS-1 attesting that the cumulative net proceeds for all raffles conducted during that calendar year will be between \$5,000 to \$29,999;

Note: If, during that calendar year licensed period the cumulative net proceeds derived from the conduct of raffles reach or exceed \$30,000, the authorized organization shall, as outlined above, apply for a license, file a GC-7R financial statement, and remit an additional license fee.

The second raffle category, conducted pursuant to Section 190-a of the GML, is one in which the net proceeds derived from a single raffle will be less than \$5,000 and the cumulative net proceeds for all raffles conducted during a calendar year will be less than \$30,000. The second raffle category is one in which an authorized organization intends to derive net proceeds from a single raffle that will not meet or exceed \$5,000, or net proceeds from a series of raffles during a calendar year in which the cumulative net proceeds will be less than \$30,000 per calendar year.

An organization wishing to conduct a Category Two raffle must:

- 1) Following an examination of its charter, certificate of incorporation or constitution, the organization's principal officers must make a self-determination in good faith that the organization meets the qualifications of an "authorized organization" as that term is defined in Section 190-a (2) of the GML;
- 2) All proceeds derived from the conduct of raffles shall be deposited into a bank account to be disbursed only for the lawful expenditures permitted under Section 4624.21 of the Commission's Rules and Regulations; and
- 3) Pursuant to Article I, Section 9 of the New York State Constitution, the Games of Chance Licensing Law and the Commission's Rules and Regulations, all proceeds derived from games of chance, including raffles, must be disbursed solely for lawful purposes in accordance with Section 4624.21 of the Commission's Rules and Regulations.

The following apply to all raffle categories:

- 1) No single prize awarded in a raffle shall exceed the sum or value of \$300,000 (three hundred thousand dollars);
- 2) The aggregate fair market value of all prizes to be offered or awarded by a licensee in raffles in any one calendar year (license period) shall not exceed \$3,000,000 (three million dollars);
- 3) The value of merchandise to be awarded as a raffle prize shall be the fair market value of the merchandise at the time of submission of an application for a raffle license;

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- 4) Alcoholic beverages, real estate or an interest therein, bonds, shares of stock, securities or evidence of indebtedness or merchandise refundable in any of the foregoing shall not be awarded as a raffle prize (see Sections 4620.22 and 4622.16 of the Rules);
- 5) Municipalities with police departments are required under Section 194 of the GML to exercise rigid controls over licensed games of chance and, in accordance with Section 195-f of the GML, collect an additional license fee set by the Commission at two percent of the licensed organizations' net profits derived from the games to help defray the cost of administering the law, such as conducting criminal background investigations and making on-site inspections.
- 6) Municipalities have the option of delegating that authority to the county sheriff, or in municipalities that do not have a police department, the local law shall designate the county sheriff as the CLEO. When the county sheriff is designated the CLEO, the additional license fee, if any, shall be remitted to the county fiscal officer, to defray the cost of the sheriff's administration of the games of Chance Licensing Law (see Section 4624.3 of the Rules);
- 7) No ticket shall be sold in conjunction with any raffle, including raffles in which winning tickets are scheduled to be drawn on multiple dates, more than 180 days prior to the date scheduled for the drawing of the last ticket in that raffle;
- 8) Raffle ticket drawings can be conducted on the premises of an authorized organization, as well as during its licensed casino night or carnival games of chance events, during its licensed bingo occasions, and on municipal property, in accordance with Section 4620.22(b)(5) of the Rules;
- 9) Raffle tickets, as authorized under Section 4620.22(b)(6), may also be sold to the public outside the premises of an authorized organization or an authorized games of chance lessor, in municipalities which have passed a local law, ordinance or resolution in accordance with sections 187 and 188 of the GML, that are located in the county in the municipality where the organization is domiciled, and in the counties which are contiguous to the county in the municipality where the organization is domiciled, provided the organization has received written approval, on a Raffle Consent Form prescribed by the Commission (Form GC-RCF), from each municipality to sell raffle tickets therein;
- 10) Only persons eighteen years of age or older shall purchase raffle tickets, sell raffle tickets, or conduct or assist in the conduct of a raffle drawing;
- 11) No commission, salary, compensation, reward or recompense shall be paid or given to any person for the sale or assisting with the sale of raffle tickets;
- 12) Raffle tickets can be sold by a member of an authorized organization licensed to conduct raffles, and may also be sold by any person with a blood relationship or affinity with a member of an authorized organization licensed to conduct a raffle, pursuant to Section 4620.22(b)(5)of the Rules;
- 13) The method of drawing and determining the winning ticket(s) shall be clearly announced and described prior to drawing a ticket; and each drawing shall be conducted openly and in plain view of the ticket purchasers present.

3. **Bell Jar Tickets**

Commonly known as pull-tabs or break-open tickets, bell jar tickets are cards bearing covered numbers, colors or symbols which, when uncovered by the purchasing player, may reveal that the ticket wins a cash or merchandise prize.

Licensed bell jar tickets, which also include the games coin boards, seal cards and merchandise boards, are regulated solely by the Commission. For that reason, the five percent additional license fees (based on the licensees' net profits) are remitted solely to the Commission (see Section 4620.24(3) of the Rules).

No single prize may be awarded as a bell jar prize exceeding \$1,000, and no series of bell jar prizes may exceed \$6,000, in accordance with Sections 4620.19(a)(3) and (4), Section 4622.12 and Section 4622.13 of the Rules.

Bell jar tickets may be sold on the premises of a licensed authorized organization, on the premises of a licensed games of chance lessor and where it conducts its licensed casino-night or Las Vegas Night games of chance, and on the premises in which it conducts its licensed bingo games (see Section 4620.19(b)(12) of the Rules).

Only bona fide members of one year or more of the licensed organization, or a bona fide member of one year or more of an organization that is an auxiliary of the licensed organization and has obtained a games of chance identification number from the Commission, may conduct or assist in the conduct of bell jar ticket operations, in accordance with Section 4622.3 of the Rules.

<u>Procedures For Registration and Issuance of An Identification Number For "Casino-Type" Games of Chance,</u> Bell Jar Tickets and Category One Raffles over \$30,000

The applicant organization files Form 1A (Application for Registration and Identification Number) with the Commission (see Part 4601 of the Rules).

If an identification number is issued, the Commission will send a copy of the approved Form 1A to the municipal clerk, along with a notice containing the identification number assigned to the organization.

<u>Note</u>: Any organization which possesses an identification number but has not been licensed to conduct at least one of the three types of games of chance for a period of one year must file a new Form 1A prior to applying for a license (see 4601.1 of the Rules).

<u>Procedures for Issuing Licenses for "Casino-Type" Games of Chance, Bell Jar Tickets and Category One Raffles over \$30,000</u>

Forms GC-2 (Application for Games of Chance License), GC-2A (Officers and Directors of the Organization; Members in Charge of Games; Affiliated Organizations Assisting at Games; Assistants to Members in Charge of Games) and Form GC-2B (Dates, Hours and Rent of all license periods to be held; expenses; and types of games) are filed by the applicant authorized organization with the municipal clerk (see Section 190. of the GML and Section 4602.1 of the Rules). These forms must be filed in triplicate with the municipal clerk (see Section 4602.3 of the Rules). The applicant organization is urged to keep a copy of the application for its own files.

No application shall be accepted by the municipal clerk unless it bears the identification number assigned to it by the Commission and is accompanied by the license fee of \$25.00 for each scheduled games of chance license period (see Section 4602.4 of the Rules).

<u>Important Note</u>: Only those applicants that derive net profits in an amount over \$30,000 per calendar year from the conduct of **raffles** are required to file the GC-2, 2A and 2B and pay the \$25.00 license fee. In the case of applicants that intend to conduct **raffles** that derive a net profit in an amount less than \$30,000 per calendar year, the license is issued through the filing of a verified statement (Form GC-VS1) with the municipal clerk and the Commission. There is **no raffle license fee** when the license is in the form of a verified statement (see Section 4602.1 of the Rules).

The municipal clerk retains one (1) copy of the application forms, forwards one (1) copy to the Chief Law Enforcement Officer ("CLEO"), the police chief or county sheriff), and forwards one (1) copy to the Commission (see Section 4602.3 of the Rules).

The municipal clerk shall make an investigation of the qualifications of each applicant and the merits of each application, with due expedition after the filing of the application, in accordance with Section 191 of the GML. The clerk records the findings and determinations in duplicate on Form GC-4, Findings and Determinations for Games of Chance License. (See Section 4603.1 of the Rules.) At least seven (7) days must elapse between the time the original application is filed with the clerk and the time when the clerk completes the findings and determinations form. (See Section 4603.2 of the Rules.)

If the organization qualifies for licensure, the municipal clerk issues a license by completing Form **GC-5**, License to Conduct Games of Chance, in its entirety (see Section 4603.3 of the Rules, and Sections 190 and 191(1)(a) of the GML). The municipal clerk completes and issues the license (Form GC-5) in quadruplicate. The original license (Form **GC-5**) is provided to the applicant organization.

A copy of the license and application package (which includes Forms GC-2, GC-2A, GC-2B and a copy of Form GC-4) is forwarded to the C.L.E.O. (the police chief or county sheriff); one (1) copy of the license and the original application is retained by the clerk; and one (1) copy of the license and the application package is forwarded to the Commission at least five (5) days prior to the date of the first licensed period (see Section 4603.6 of the Rules).

If the application is denied, the municipal clerk, after consulting with the municipal attorney, shall give due notice to the applicant, in writing, of a hearing to be held upon the qualification of the applicant organization and the merits of its application. A copy of such notice shall also be sent to the Commission (see GML Section 192, and Section 4603.3 of the Rules). Appeals of municipal determinations to the Commission are conducted pursuant to Part 4626 of the Rules.

Once licensed, organizations may amend a license using Form GC-6 (Application to Amend Games of Chance License), pursuant to Section 4604.1 of the Rules.

The types of authorized games of chance and the rules outlining the conduct of each authorized game are set forth in Part 4620 of the Rules.

The rules describing the general conduct of games of chance licensed periods are set forth in Part 4622 of the Rules.

Financial statements of games of chance operations must be filed with the municipality and the Commission. The rules regarding such are set forth in Part 4624 of the Rules.

Form GC-7 Financial Statement of Games of Chance Operations, required under Section 195-f of the GML, must be filed by authorized organizations conducting "casino-type" games of chance license periods. Form GC-7b (Cash Control Report) is prepared in conjunction with Form GC-7. Copies of the GC-7 and GC-7b must be forwarded to the Commission.

Form GC-7R is the financial statement filed by organizations licensed to conduct raffles that derive \$30,000 or more per calendar year from the conduct of such games. An additional license fee, set at 2% of the net proceeds for each license period (calendar year), shall be remitted to the municipality or county fiscal officer, as warranted for proceeds over \$30,000. Organizations licensed by verified statement (Form GC-VS1) that, in fact, derive less than \$30,000 per calendar year from the conduct of raffles, need not submit any additional documentation.

Form GC-7Q is the financial statement filed by organizations licensed to conduct bell jar ticket operations, which is filed with the Commission. Since all regulatory duties related to bell jar ticket operations are performed by the Commission, the additional license fees (totaling 5% of the net profits from the conduct of bell jar tickets) are remitted directly to the Commission, without exception.

The municipal governing body shall not issue a further license to an authorized organization found to be delinquent in filing its financial statement of games of chance operations or financial statement of bell jar operations. If a licensee fails to submit a financial statement of games of chance operations or financial statement of bell jar operations within five days after written notification by the municipal governing body or the Commission of such delinquency, its license may be suspended pursuant to the provisions of Part 4626 of the games of chance rules and regulations (see Section 4624.5 of the Rules).

If the financial statement of games of chance operations or financial statement of bell jar operations filed by a licensee is not properly verified, or not fully, accurately and truthfully completed, no further license shall issue to it, and any existing license may be suspended pursuant to the provisions of Part 4626 of this Title (see Section 4624.6 of the Rules).

Miscellaneous Requirements

Municipal clerks are required to complete and return to the Commission, an Annual Report which requests information regarding bingo and/or games of chance activity during the previous calendar year. The <u>Annual Report on Bingo and Games of Chance Activities</u> form may be found on the Commission's website at <u>www.gaming.ny.gov</u>. The form may be completed and mailed or faxed to the attention of the Division of Charitable Gaming at (518) 347-1469. If your municipality has no reportable activity for the past year, please write "<u>No Activity</u>" on the form and return it to the Division of Charitable Gaming. Reporting "<u>No Activity</u>" is essential because it allows the Commission to track statewide trends in charitable gaming.

Organizations wishing to disburse bingo and/or games of chance funds for certain purposes are required to submit their request to the Commission using Form 317, Application for Permission to Disburse Net Proceeds. The authorized organization must receive written approval from the Commission prior to disbursing such funds. For more information on lawful expenditures, please see Part 4624 of the games of chance rules and regulations.

Each licensee shall maintain a single-entry bookkeeping system for the purpose of recording all receipts, expenditures and disbursements of the net proceeds of the games of chance (see Rule 4821.13 for bingo, and Rule 4624.13 for games of chance).

Mandates concerning the control and close supervision of bingo and games of chance are set forth in Sections 484 and 194 of the GML respectively, as are details concerning the suspension or revocation of a license, following a hearing.

For guidance pertaining to revocations and suspensions of license, refer to Part 4830 of the bingo rules and Part 4626 of the games of chance rules.



Guidelines for Conducting Raffles

A reference guide for the conduct of raffles for authorized organizations, municipal clerks, and chief law enforcement officers.

(Please refer to 9 NYCRR § 4620.22 for more details in regard to the operation of raffles.)

The Gaming Commission has adopted regulations concerning the sale of raffle tickets through the Internet or mobile device platforms. Any authorized organization wishing to conduct such a raffle will first need the approval of the Commission before doing so. Linked below is the application form for authorized organizations to complete in order to obtain Commission approval.

Gaming Commission Internet Raffle Application (available here).

Please see 9 NYCRR § 4620.22(b)(7) for current regulations. (available here).

The following restrictions apply to the conduct of all Raffle Categories:

Raffle tickets may be sold and drawings conducted on an authorized organization's premises, the premises of another authorized organization, and a games of chance commercial lessor; during its licensed casino nights or carnival games of chance events; and during its licensed bingo occasions, in accordance with Commission Rule 4620.22(b)(5).

Raffle tickets, as authorized by Commission Rule 4620.22(b)(6), may also be sold to the public outside the premise of an authorized organization, provided such sales are conducted in municipalities which have passed a games of chance local law, ordinance or resolution that are located within the same county in which the authorized organization is domiciled or within municipalities within counties which are contiguous to the county in which the authorized organization is domiciled provided those municipalities have authorized the licensee, in writing, on a Raffle Consent Form to sell such raffle tickets therein.

Raffle drawings may be conducted at the premise of an authorized organization or games of chance lessor (which may include municipally owned property) located within the same municipality in which the authorized organization is domiciled that has passed a games of chance local law, ordinance or resolution. Additionally, raffle drawings may be conducted at the premise of an authorized organization or games of chance lessor within municipalities other than the municipality in which the authorized organization is domiciled within the same county and within contiguous counties to the county in which the authorized organization is domiciled that have passed a games of chance local law, ordinance or resolution provided prior written authorization is obtained

from the clerk of the municipality in which such premise is located on a Raffle Consent Form as prescribed by the Commission.

Raffle drawings may also be conducted on premises other than that of an authorized organization or games of chance lessor located within the same municipality in which the authorized organization is domiciled and within municipalities within the same county in which the authorized organization is domiciled and within counties that are contiguous to the county in which the authorized organization is domiciled provided prior written authorization is obtained from the clerk of the municipality in which such premise is located on a Raffle Consent Form as prescribed by the Commission.

Only persons 18 years of age or older shall purchase raffle tickets, sell raffle tickets, or conduct or assist in the conduct of a raffle drawing;

No sale of raffle tickets shall be made more than 180 days prior to the date scheduled for the occasion at which the raffle will be conducted;

Payment for the purchase of raffle tickets may be made with cash, checks and debit or credit cards.

Additionally, all raffle ticket sales may be conducted only in municipalities that have passed a games of chance local law, ordinance or resolution and that are located within the same county in which the authorized organization is domiciled or within municipalities within counties that are contiguous to the county in which the authorized organization is domiciled, provided those municipalities have authorized the licensee, in writing, on a RCF-Raffle Consent Form to sell such raffle tickets therein.

Neither the General Municipal Law nor Commission Rules authorizes the sale of raffle tickets through the mail.

Raffle tickets can be sold by a member of an authorized organization 18 years of age or older, and may also be sold by any person 18 years of age or older that has a blood relationship or affinity with a member of the authorized organization conducting the raffle pursuant to Commission Rule 4620.22(b)(11), or by any person 18 years of age or older who has a blood relationship or affinity with a member of an authorized organization that is auxiliary to, or an affiliate of, the authorized organization conducting the raffle.

The winner of any raffle prize shall not be required to be present at the time such raffle drawing is conducted.

All proceeds derived from the conduct of raffles shall be deposited into a bank account maintained solely by the authorized organization and shall be disbursed only

for the lawful purposes of the authorized organization pursuant to Commission Rule 4624.21.

No single prize in any raffle shall exceed \$300,000. No series of raffle prizes shall exceed \$500,000. The maximum aggregate value of prizes that an organization can award in any one calendar year in all the different types of raffles, combined shall not exceed \$3,000,000.

It is prohibited to offer alcoholic beverages, real estate or an interest therein, shares of stock, bonds, securities or evidence of indebtedness or any merchandise refundable in any of the foregoing as raffle prizes.

Raffle Categories

Please select the raffle category below that best describes the type of raffle your authorized organization intends to conduct:

- A. If an authorized organization operates a raffle(s) in which the organization derives cumulative net raffle proceeds of at least \$30,000 from all raffles conducted during the calendar year or between \$5,000 and \$29,999 for any raffle, refer to Category 1.
- B. If an authorized organization operates a raffle(s) in which the organization derives less than \$5,000 in net raffle proceeds from any single raffle and less than \$30,000 in net raffle proceeds from all raffles conducted during the calendar year, refer to Category 2.

Raffle Category 1

When conducting raffles in which an authorized organization derives cumulative net raffle proceeds of at least \$30,000 from all raffles conducted during the calendar year, the authorized organization is required to:

- apply for and obtain a Games of Chance Identification Number from the Commission:
- submit a completed Games of Chance License application to the municipal clerk using forms GC-2, GC-2A, and GC-2B, along with a \$25.00 annual license fee and obtain a Games of Chance License issued by the municipal clerk on Form GC-5;
- file a financial statement of raffle operations on Form GC-7R with the municipal clerk and the Commission by January 30th of the following year;
- remit an additional license fee to the municipal clerk (or county fiscal officer, if applicable) assessed at 2% of the reported net raffle proceeds over \$30,000

(Note: There is no additional license fee paid on the first \$30,000 derived in net raffle proceeds.); and

 maintain a special raffle checking account into which all raffle proceeds are deposited, and from which such funds shall be disbursed only for lawful purposes in accordance with Commission Rule 4624.

If the net proceeds derived from a single raffle will be between \$5,000 to \$29,999, an authorized organization must:

- apply for and obtain a Games of Chance Identification Number from the Commission;
- file a verified statement with the municipal clerk on Form GCVS-1 attesting that the net proceeds for each raffle conducted during the calendar year will be between \$5,000 to \$29,999; and
- deposit all proceeds derived from the conduct of raffles into a bank account maintained solely by the authorized organization to be disbursed only for the lawful expenditures permitted under Commission Rule 4624.21.

Note: If, during that calendar year licensed period the cumulative net proceeds derived from the conduct of raffles reach or exceed \$30,000, the authorized organization shall, as described above, apply for a license, file a GC-7R financial statement, and remit an additional license fee.

Examples of Category 1 Raffles:

Example A: An authorized organization conducts one raffle during the calendar year to award a raffle prize of a vintage automobile. The organization derives \$35,000 in net proceeds from the raffle.

Requirements: The organization must obtain a games of chance identification number from the Gaming Commission. The organization must then submit raffle license application forms GC-2, GC-2A and GC-2B and a \$25 raffle license application fee to the municipal clerk and obtain a raffle license from the clerk on form GC-5. Before January 30 of the following year, the organization must submit financial statement of raffle operations form GC-7R to the municipal clerk and the Gaming Commission and pay to the clerk, or, if applicable, to the county fiscal officer, an additional license fee of 2% of the reported net proceeds over \$30,000 (2% of \$5,000, or \$100).

Example B: An authorized organization conducts three separate raffles during the calendar year with a cash prize of \$7,500 for each raffle. The organization derives net proceeds of \$15,000 from the first raffle; \$9,000 from the second raffle; and \$8,000 from the third raffle, a total of \$32,000 for all raffles.

Requirements: Same as example A, with payment of a 2% additional license fee of \$40 (2% of \$2,000).

Example C: An authorized organization conducts two raffles during the calendar year. The organization raffles an automobile and derives \$22,000 in net proceeds from that raffle. The organization also raffles a motorcycle and derives \$8,000 in net proceeds from that raffle.

Requirements: Same as examples A and B, with no 2% additional license fee due because net raffle proceeds did not exceed \$30,000 for the calendar year.

Example D: An authorized organization conducts one raffle during the calendar year to award a raffle prize of a boat. The organization derives \$5,000 in net proceeds from the raffle.

Requirements: The organization must obtain a games of chance identification number from the Commission and submit the raffle verified statement licensing form GCVS-1 to the licensing municipal clerk and the Commission.

Example E: An authorized organization conducts five separate raffles during the calendar year with the five different raffle prizes being a stereo, a large screen television, a riding lawn mower, an ATV and a camping trailer. The organization derives net proceeds of \$1,000 from the stereo raffle; \$2,000 from the television raffle; \$3,000 from the lawnmower raffle; \$4,000 from the ATV raffle; and \$18,000 from the camper raffle.

Requirements: Same as example D.

Example F: An authorized organization conducts only one raffle during the calendar year, a Queen of Hearts raffle that lasts 42 weeks. The organization derives net proceeds of \$29,000 from the raffle.

Requirements: Same as examples D and E.

Example G: An authorized organization conducts two raffles during the calendar year, one for a \$10,000 cash prize and one Queen of Hearts raffle that lasts 24 weeks. The organization derives net proceeds of \$8,000 from the cash raffle and \$21,000 from the Queen of Hearts raffle.

Requirements: Same as examples D, E and F.

Raffle Category 2

When conducting raffles in which an organization derives less than \$5,000 in net raffle proceeds from any single raffle and less than \$30,000 in net raffle proceeds from all raffles conducted during the calendar year, the organization is required to, following

an examination of its charter, certificate of incorporation or constitution, have the organization's principal officers make a self-determination in good faith that the organization meets the qualifications of an "authorized organization" as that term is defined in General Municipal Law section 190-a(2).

All proceeds derived from the conduct of raffles shall be deposited into a bank account maintained solely by the authorized organization to be disbursed only for the lawful expenditures permitted under Commission Rule 4624.21.

Note: If, during the course of a calendar year in which raffles are conducted, an authorized organization derives net raffle proceeds of at least \$5,000 from any single raffle or at least \$30,000 in net raffle proceeds from all raffles conducted during the calendar year, the authorized organization shall apply for and obtain a Games of Chance Identification Number from the Commission and follow the applicable licensing and filing requirements outlined in Raffle Category 1, as described above.

Examples of Category 2 Raffles:

Example A: An authorized organization conducts a 50/50 raffle every Saturday night at its club during the calendar year on the 52 separate Saturday nights of the calendar year. The organization derives net proceeds of \$200 from each separate 50/50 raffle.

Requirements: There are no games of chance/raffle registration, licensing or financial reporting requirements. The organization must make a self-determination that the organization qualifies as an authorized organization pursuant to General Municipal Law Article 9-A and the organization must be domiciled in a municipality that has enacted a local games of chance law or ordinance to be eligible to lawfully conduct its raffles pursuant to all applicable games of chance/raffle laws and rules.

Example B: An authorized organization conducts two separate raffles during the calendar year, one for a \$1,000 gift certificate to the local department store and one for a \$500 gift certificate to the local grocery store. The organization derives net proceeds of \$4,500 from the department store raffle and \$3,000 from the grocery store raffle.

Requirements: Same as example A.

Example C: An authorized organization conducts two 50/50 raffles during the calendar year, one in the spring and one in the autumn. It also conducts a Queen of Hearts raffle that lasts 21 weeks. The organization derives net proceeds of \$3,200 from the first 50/50 raffle; \$4,100 from the second 50/50 raffle; and \$5,000 from the Queen of Hearts raffle.

Requirements: Same as examples A and B.

EXHIBIT #4

ORDINANCES

reational facilities of this City and for the protection, safety and welfare of the public. Such rules and regulations shall have the legal force and effect of City ordinances.

SECTION 2. Article V, Chapter 19, of The Charter of the City of Syracuse—1960, is hereby repealed in its entirety.

SECTION 3. Inconsistent Provisions Superseded.

The provisions of The Charter of the City of Syracuse—1960, are, insofar as inconsistent with the provisions of this local law, hereby superseded.

SECTION 4. This local law shall take effect January 1, 1966.

Defeated

Ayes: Councilmen Farr, Lombardi, Steuart, Coburn, Leverton—5.

Noes: Councilman Andrews-1.

(To be adopted Local Law needs 2/3's vote of Council).

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Prior to the vote on the foregoing Local Law, Councilwoman Farr read a statement recommending the combining of the Department of Parks and Recreation, which statement was received and placed on file.

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Councilman Andrews again objected to voting on the proposed Local Law today.

* * *

Councilman Lombardi discussed the Local Law and urged its adoption, as did Councilman Leverton and Councilwoman Coburn.

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At this time, the Chair called for a vote on the Local Law, and the said Local Law was defeated as follows:

Ayes: Councilmen Farr, Lombardi, Steuart, Coburn, Leverton—5.

Noes: Councilman Andrews-1.

(In the case of a Local Law, a vote of 2/3's of the voting power of the Common Council is needed—not having received this—the Local Law was declared "defeated").

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ORDINANCES

By Councilwoman Coburn:

LOCAL LAW NO. 16, 1965

CITY OF SYRACUSE

A LOCAL LAW of the City of Syracuse Amending the Charter of the City of Syracuse—1960 by Adding Thereto a New Chapter 20 of Article V, Creating a License Commission and Superseding Certain Charter Provisions Inconsistent Therewith.

Be It Enacted by the Common Council of the City of Syracuse as follows:

Section 1. Article V of the Charter of the City of Syracuse—1960 is hereby amended by adding thereto a new Chapter 20 as follows:

ARTICLE V CHAPTER 20

LICENSE COMMISSION

Section 5-2001. Functions.

The License Commission, headed by the Commissioner of Licenses, shall:

 Administer and enforce, except as may otherwise be provided by this charter, statute or local law, all laws relating to licenses issued by the City.

2. Issue all such licenses and make all inspections, tests or examinations prerequisite to the issuance of such licenses.

3. Determine by inspection, in cooperation with the Department of Police, whether any person is in violation of the conditions of any license issued by it and to take any and all lawful action as may be necessary to enforce compliance with the conditions of such license.

4. Refuse, revoke or suspend any license applied for or issued by it, after notice and offer of an opportunity to be heard with respect thereto served in writing upon any applicant or licensee effected thereby.

5. Perform such other and further duties as may be prescribed by this charter or other ordinance, local law or laws.

Section 5-2002. Definition of License.

For the purposes of this chapter, "license" shall mean any license, permit or other authorization required by law, the issuance of which is not assigned by this charter or statute to some officer, department or board of the City other than this Commission.

Section 5-2003. Procedures.

(1) If the Commission determines to refuse to issue, revoke or suspend a license, it shall deliver in writing a notice of intention to so refuse, revoke or suspend such license, to the applicant or licensee affected. Said notice shall afford said applicant or licensee the opportunity of a hearing in respect to such refusal, revocation or suspension before the Commissioner within ten days following delivery of such notice. Upon the Commissioner's determination following such hearing, any applicant or licensee shall have the right to judicial review thereof, pursuant to law.

ORDINANCES

(2) The Commissioner may establish rules of procedure for hearings or licenses or permits and the revocation or suspension thereof, consistent with applicable law.

Section 5-2004. Audit and Counsel.

The City Auditor shall monthly examine the receipts and disbursements of the Commission and shall advise the Commission on the safeguarding and accounting of funds it receives. The Corporation Counsel shall provide the Commission with legal representation in proceedings for refusal to issue, revocation and suspension of licenses and general legal advice in the conduct of its affairs and business.

Section 5-2005. Enforcement.

The Department of Police shall cooperate with the Commission in the inspection and examination of applicants and licensees and in the enforcement of all ordinances and laws within the jurisdiction of the Commission.

Section 5-2006. Revenues.

The Commission shall comply with the regulations of the Commissioner of Finance with respect to the safekeeping, deposit and accounting for all revenues collected from the issuance of licenses.

Section 2. Inconsistent Provisions Superseded.

The provisions of the Charter of the City of Syracuse—1960, as amended, and the Revised General Ordinances of the City of Syracuse—1961, as amended, including Sections 5-705 and 5-706 of said charter, insofar as inconsistent with the provisions of this local law, are hereby superseded.

Section 3. This local law shall take effect January 1, 1966.

Adopted.

Ayes: Councilmen Ludovico, Farr, Laskowski, Lombardi, Handlin, Steuart, Andrews, Coburn, Leverton—9.

* * *

At this time, Councilman Lombardi introduced the following ordinance relative to approval of the Downtown One Urban Renewal Plan—Project No. N. Y. R-161 (as amended).

Councilman Lombardi discussed the amendments with the members of the Council:

By Councilman Lombardi:

ORDINANCE of the Common Council of the City of Syracuse Approving the Urban Renewal Plan and Feasibility of Relocation for Urban Renewal Project No. N. Y. R-161.

Whereas, under the provisions of Title I of the Housing Act of 1949, as amended, the Housing and Home Finance Administrator is authorized to provide financial assistance to Local Public Agencies for undertaking and carrying out urban renewal projects; and,

ORDINANCES

Whereas, it is provided in such Act that contracts for financial aid thereunder shall require that the Urban Renewal Plan for the respective project area be approved by the governing body of the locality in which the project is situated and that such approval project is situated and that such approvationclude findings by the governing body that:

(1) the financial aid to be provided in the contract is necessary to enable the project to be undertaken in accordance with the Urban Renewal Plan; (2) the Urban Renewal Plan will afford maximum opportunity, consistent with the sound needs of the locality as a whole for the rehabilitation or redevelopment of the urban renewal area by private enter-prise; (3) the Urban Renewal Plan conforms to a general plan for the development of the locality as a whole; and (4) the Urban Renewal Plan gives due consideration to the provision of adequate park and recreational areas and facilities, as may be desirable for neighborhood improvement, with special consideration for the health, safety, and welfare of children residing in the general vicinity of the site covered by the Plan; and.

Whereas, the Syracuse Urban Renewal Agency (herein called the "Local Public Agency") has entered into a Planning Contract for financial assistance under such Act with the United States of America, acting by and through the Housing and Home Finance Administrator, pursuant to which Federal funds were provided for the preparation of an Urban Renewal Plan relating to the Downtown One Urban Renewal Project in the City of Syracuse; and

Whereas, an Urban Renewal Plan has been approved by this Common Council by ordinance adopted April 13, 1964, and by resolution of the Syracuse Urban Renewal Agency adopted April 13, 1964, for the Office Center Area, a portion of the Downtown One Urban Renewal Project No. N. Y. R-161 in accordance with Article 15, Section 505 of the General Municipal Law of the State of New York, which Office Center Urban Renewal Plan is incorporated in the Downtown One Urban Renewal Plan; and,

Whereas the Local Public Agency has applied for additional financial assistance under the Housing Act of 1949, as amended, and proposes to enter into an additional contract or contracts with the Housing and Home Finance Agency for the undertaking of, and making available, additional financial assistance for the Project; and,

Whereas, the Local Public Agency has made detailed studies of the location, physical condition of structures, land use, environmental influences, and social, cultural, and economic conditions of the Project Area and has determined that the area is a sub-standard or insanitary area and tends to impair or arrest the sound growth and development of the City of Syracuse and is slum, blighted, deteriorated or deteriorating area that is detrimental and a menace to the safety, health and welfare of the inhabitants and users thereof and to the City of Syracuse at large because the area is slum or blighted or becoming a slum or blighted area because of sub-standard, insanitary, deteriorated or deteriorating conditions and factors and characteristics with or without tangible physical blight which constitutes a serious and growing menace injurious

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MONDAY, SEPTEMBER 13, 1965

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ORDINANCES

Be It Ordained, subject to the approval of the Board of Estimate as follows:

1. That the City of Syracuse accept the offer for sale by the owner hereinafter set forth of the respective property at the price

Date of Offer Name of Owner Sept. 8, 1965 George M. Chamberlain

2. That the acceptance of said offer and the purchase of said property and the expenditure of money hereby authorized shall be subject to the determination of the Corporation Counsel that title to said premises is marketable and free and clear of all liens and encumbrances and that any payment hereby authorized shall be made only after such certification by the Corporation Counsel.

Adopted.

Ayes: Councilmen Ludovico, Farr, Lombardi, Handlin, Steuart, Andrews, Coburn, Leverton

Noes: Councilman Laskowski-1.

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LOCAL LAW NO. 13, 1965 CITY OF SYRACUSE

A LOCAL LAW of the City of Syracuse Amending the Charter of the City of Syracuse—1960 by Adding Thereto a New Chapter 19 of Article V, Creating a Department of Building and Housing Control and Superseding Certain Charter Provisions Inconsistant Therewith.

Be It Enacted by the Common Council of the City of Syracuse as follows:

Section 1. Declaration of Policy.

The United States Housing Act of 1949, as amended, most recently by the Housing and Urban Development Act of 1965, provides local public agencies with broad powers coupled with loans and grants-in-aid to accomplish rehabilitatoin and conservation of designated urban renewal areas where property owners-occupants cannot themselves bring property up to required standards. Said act further provides Federal assistance for code enforcement activities to secure to all residents of the City of Syracuse safe, healthy and adequate housing. To obtain this objective, it is the purpose of this legislation to create a new Department of Building and Housing Control, with full and continuing authority to administer and enforce all applicable laws relating to the safety, health and welfare of our residents in all structures within the City, whether residential, business, commercial, industrial, religious or recreational. It is the further purpose of this legislation to create and empower a unique and separate department to devote itself with singularity of purpose to the improvement, rehabilitation and conservation of residential and other structures within the City. To this end, the Department of Building and Housing Control is hereby designated as a "Local Public

ORDINANCES

set opposite his name in accordance with the terms and conditions set forth in said offer now on file with the Corporation Counsel, and the Mayor be and he hereby is authorized to execute and deliver an acceptance of said offer for and on behalf of the City of Syracusse, viz:

Street Address of Property Amount of Purchase Price 103 LaForte Avenue \$12,600.00

Agency" for any and all purposes appropriate under Federal and State law for participation on behalf of the City of Syraccuse in all Federal and State programs affecting in any respect its prescribed areas of responsibility in conservation, rehabilitation, relocation, demolition, code enforcement and building and housing control in the City of Syracuse.

Section 2. Article V of the Charter of the City of Syracuse—1960 is hereby amended by adding thereto a new Chapter 19 as follows:

ARTICLE V

CHAPTER 19

Department of Building and Housing Control

Section 5-1901. Functions.

The Department of Building and Housing Control, headed by a Commissioner of Building Housing Control, shall:

- (1) Administer and enforce, except as may otherwise be provided by this Charter, statute or local law:
- (a) All laws relating to the protection of persons and property from hazards of fire, except that the Department of Fire shall continue to have jurisdiction over the administration and enforcement of the Fire Prevention Code.
- (b) All laws relating to the use, condition, erection, alteration, maintenance, repair, public utility service, heating and ventilating facilities or the removal and demolition of buildings and structures, or any parts thereof, and the grounds appurtenant thereto.
- (c) The Syracuse Building Code, as amended, and the New York State Building Construction Codes where applicable.
- (d) The Zoning Rules and Rregulations, as amended, and Sign Regulations.
- (e) The Syracuse Electrical Code, as amended.
- (f) The New York State Multiple Residence Law, as amended.
- (g) The Syracuse Housing Code.
- (h) The Warm Air Heating Ordinance and regulations.
- (i) All laws, ordinances and regulations relating to Weights and Measures.
- (2) Investigate all complaints of violations of law governing matters for which the department is responsible.

ORDINANCES

(3) Determine by inspection or otherwise, whether any person or property owner is violating any law over which the department has jurisdiction relating to real property and the use thereof. If the department shall find a violation of such law, it shall take such action prescribed or permitted by law to effect compliance.

- (4) Issue rules and regulations necessary or desirable to effectuate the administration and enforcement of all laws over which the department has jurisdiction.
- (5) Perform such other and further duties as required by law or ordinance.

Section 5-1902. Right of Entry.

The Commissioner and his deputies or such other officers and employees of the department as are authorized by the Commissioner, shall have the power, without fee or hindrance, to enter, examine, inspect or cause to be examined or inspected, any building, structure or premises for the purpose of carrying out the duties or responsibilities of his department.

Section 5-1903. Building Code and State Building Construction Codes.

- (1) It shall be the duty of the Commissioner, with the consent and approval by ordinance of the Council, to formulate, promulgate and adopt rules and regulations to be known as the Building Code of the City of Syracuse. The matters to be included in and governed by such Building Code may include the matby such butting Code may included in the existing Building Code of the City which shall be continued until superseded as herein provided. Amendments to said Building Code may be made by the Commissioner from time to time with like consent and approval. Such Building Code may embrace all matters and subjects in relation to the architecture, design, engineering, erection, construction, alteration, demolition and destruction of buildings, the installation, alteration and inspection of plumbing and gas and electrical facilities and of all structural features and of all stresses, strains, floor loadings and other matters af-fecting life or public safety, welfare or convenience, not inconsistent with the Constitution or laws of the State. The provisions thereof shall be binding and in full force and effect in the City of Syracuse. Said Code may provide for a specific penalty for any violation
- (2) The Building Code in force at the time this Charter takes effect as amended and the State Building Construction Codes as amended, shall continue to be applicable in the City of Syracuse until amended, modified or superseded.

Section 5-1904. Cooperation with Urban Improvement.

The Department shall cooperate with the Department of Urban Improvement in corordinating its activities with the Urban Renewal programs of the City of Syracuse.

Section 3. Inconsistent Provisions Superseded.

ORDINANCES

The provisions of the Charter of the City of Syracuse—1960, including subparagraphs (9) (10) (11), (12), (13), (14), (15), (16), (17) and (18) of Section 5-701 thereof and Sections 5-/03, 5-704 and 5-707 thereof are, insofar as inconsistent with the provisions of this local law, hereby superseded.

Section 4. This local law shall take effect January 1, 1966.

Adopted.

Ayes: Councilmen Ludovico, Farr, Laskowski, Lombardi, Handlin, Steuart, Andrews, Coburn, Leverton—9.

. .

Whereas, the Wilmorite Corporation will build apartment dwellings in the area of East Brighton Avenue; and

Whereas, to provide sanitary and storm sewer service to said apartment development an casement must be obtained on the east side of Brighton Avenue between East Seneca Turnpike and Rock Cut Road; and

Whereas, John Cannon has offered the City an easement, at no cost to the City, for the aforementioned purpose; Now, Therefore,

Be It Ordained, subject to the approval of the Board of Estimate, that this Common Council hereby authorizes, without consideration, the acceptance of the easement from John Cannon for the aforementioned purposes described as follows:

All That Tract or Parcel of Land situate in the City of Syracuse, County of Onondaga and State of New York, being a part of Farm Lot No. 121, Onondaga, now City of Syracuse, and being more particularly described as follows:

Beginning at a point in the westerly line of East Brighton Avenue, said point being N. 16° 52' W. a distance of 200 feet from its intersection with the northerly line of East Seneca Turnpike, as measured along said line of East Brighton Avenue, said point of beginning also being the northeast corner of property of the Socony-Mobil Oil Co., Inc., and the southeast corner of property of John Cannon;

Thence S. 73° 08' W. along the northerly line of said Socony-Mobil Oil Co., Inc., property and the southerly line of said Cannon property, a distance of 99.61 feet to an angle point in said property line;

Thence S. 20° 11' W. along said property line a distance of 99.61 feet to a point in said northerly line of East Seneca Turnpike, said point of intersection being 200 feet north-westerly of its intersection with said westerly line of East Brighton Avenue, as measured along said line of East Seneca Turnpike;

Thence westerly along said line of East Seneca Turnpike, a distance of 20 feet to a point:

LOCAL LAW

- (3) Arrange, provide for, operate and conduct public recreation programs in the parks and schools of the City and on other City property where permitted, subject to regulations adopted by the Board of Education where applicable.
- (4) Care for the shade trees of the City, which shall be accomplished through the Department of Public Works in accordance with Section 5-1501 of this Charter.
- (5) Grant, upon approval of the Council, concessions to be operated within the parks and other recreational facilities.
- (6) Perform such other and further duties as may be prescribed by this Charter, local law or laws.

Section 4. Chapter 7 of Article V of the Charter of the City of Syracuse-1960, as amended, entitled Department of Engineering, be and is hereby rescinded.

Section 5. This local law shall take effect July 1, 1995, subject to the provisions of the Municipal Home Rule Law of the State of New York.

Adopted:

Ayes: Councilors Guy, McCarty, Mannion, Anderson, Driscoll, Bottrill, Carni - 7

Noes: Councilors O'Connell, Uplinger - 2

Councilor Mannion introduced Agenda item 8b "Local Law - Of the City of Syracuse, amending the Charter of the City of Syracuse-1960, as amended, abolishing the City License Commission and transferring the duties and functions of the License Commission to the Department of Finance, effective July 1, 1995.

Councilor Uplinger stated that she would not be supporting this legislation, citing the number of issues that come before the Commission. "I am not convinced this will work," Councilor Uplinger said.

Councilor Carni stated that he would be supporting this legislation due to the financial situation of the City of Syracuse.

There being no further discussion, President Panek called for a vote on the proposal as introduced by Councilor Mannion.

Local Law No. 1995 City of Syracuse

A LOCAL LAW OF THE CITY OF SYRACUSE AMENDING THE CHARTER OF THE CITY OF SYRACUSE - 1960, AS AMENDED, RESCINDING CHAPTER 20 OF ARTICLE V ENTITLED LICENSE COMMISSION AND TRANSFERRING THE RESPONSIBILITIES AND DUTIES OF THE LICENSE COMMISSION TO THE DEPARTMENT OF FINANCE

BE IT ENACTED, by the Common Council of the City of Syracuse, as follows:

ORDINANCES

Section 1. Chapter 20 of Article V of the Charter of the City of Syracuse - 1960, as amended, entitled License Commission, is hereby rescinded.

Section 2. Chapter 8 of Article V of the Charter of the City of Syracuse - 1960, as amended, entitled Department of Finance, is amended to add the following new sections:

Section 5-805. License Functions.

The Department of Finance, headed by the Commissioner of Finance, shall:

- (1) Administer and enforce, except as may otherwise be provided by this Charter, statute or local law, all laws relating to licenses issued by the City.
- (2) Issue all such licenses and make all inspections, tests or examinations prerequisite to the Issuance of such licenses.
- (3) Determine by Inspection, in cooperation with the Department of Police, whether any person is in violation of the conditions of any license issued by it and to take any and all lawful action as may be necessary to enforce compliance with the conditions of such license.
- (4) Refuse, revoke or suspend any license applied for or issued by it, after notice and offer of an opportunity to be heard with respect thereto served in writing upon any applicant or licensee affected thereby.
- (5) Perform such other and further duties relating to licenses as may be prescribed by this Charter or other ordinance, local law or laws.

Section 5-806. Definition of license.

For the purposes of this chapter, "license" shall mean any license, permit or other authorization required by law, the issuance of which is not assigned by this charter or statute to some officer, department or board of the City other than the Department of Finance.

Section 5-807. Procedures.

- (1) The Commissioner of Finance, or a deputy commissioner of finance as designated by the Commissioner, shall issue the licenses.
- (2) If the Department of Finance, through the Commissioner of Finance or the designated deputy commissioner of finance, as provided in Section 5-807(1), determines to refuse to issue, revoke or suspend a license, it shall deliver in writing a notice of intention to so refuse, revoke or suspend such license to the applicant or licensee affected. Said notice shall afford said applicant or licensee the opportunity of a hearing in respect to such refusal, revocation or suspension before the commissioner or the designated deputy commissioner of finance, within ten (1) days following delivery of such notice. Upon the determination by the Commissioner, or the designated deputy commissioner, following such hearing, any applicant or licensee shall have the right to judicial review thereof, pursuant to law.
- (3) The Commissioner of Finance may establish rules of procedure for hearings or licenses or permits and the revocation or suspension thereof, consistent with applicable law.

ORDINANCES

Section 5-808. Audit and counsel.

The City Auditor shall monthly examine the receipts and disbursements of the Department of finance relating to licenses and shall advise the Department of Finance on the safeguarding and accounting of funds it receives relating to licenses. The Corporation Counsel shall provide the Department of Finance with legal representation in proceedings for refusal to issue, revocation and suspension of licenses and general legal advice in the conduct of its affairs and business relating to licenses.

Section 5-809. Enforcement.

The Department of Police shall cooperate with the Department of Finance in the inspection and examination of applicants and licensees and in the enforcement of all ordinances and laws within the jurisdiction of the Department of Finance relating to licenses.

Section 5-810. Revenues.

The Department of Finance shall comply with the regulations of the Commissioner of Finance with respect to the safekeeping, deposit and accounting of all revenues collected from the issuance of licenses.

Section 5-811. Transfer of Functions and Completion of Pending Actions.

Any and all license applications and proceedings relating to licenses under Chapter 20 of Article V of the Charter of the City of Syracuse - 1960, as amended, which are pending and which have not been completed by the license commission and/or commissioner of licenses before the effective date of the transfer of the functions of the license commission to the Department of finance, as provided for herein, shall be administered, enforced and completed by the Department of Finance, in accordance with the applicable provisions of this Charter and the ordinances and regulations applicable to such license applications or proceedings relating to licenses, under the provisions of this local law.

Section 5-812. All references to the license commission and/or the commissioner of licenses in any ordinance, local law and/or Charter of the City of Syracuse 1960, as amended, in relation to the functions transferred to the Department of Finance, be and are hereby amended to refer to the Commissioner of Finance or the designated deputy commissioner of finance and/or the Department of Finance.

Section 3. This local law shall take effect July 1, 1995, subject to the provisions of the Municipal Home Rule Law of the State of New York.

Adopted:

Ayes: Councilors Guy, Mannion, O'Connell, Driscoll, Bottrill, Carni - 6.

Noes: Councilors McCarty, Uplinger, Anderson - 3

ORDINANCES

ORDINANCES

BY PRESIDENT PANEK:

Resolution No. 37-R 1995-96

Resolved, that the following persons be and hereby are appointed Commissioners of Deeds, in and for the City of Syracuse, New York, for a term to expire DECEMBER 31, 1996:

NAME Andrews, Russell S. Milstead, Anna Parker, Joyce W. Rose, Mary Ellen

Adopted:

Ayes: Councilors Guy, McCarty, Mannion, O'Connell, Uplinger, Anderson, Driscoll, Bottrill, Carni - 9.

BY COUNCILOR GUY:

Ordinance No. 221 1995

BOND ORDINANCE AUTHORIZING THE ISSUANCE AND SALE OF BONDS OF THE CITY OF SYRACUSE IN THE AMOUNT OF ONE MILLION FIVE HUNDRED THOUSAND DOLLARS (\$1,500,000.00) TO DEFRAY PART OF THE COST AND EXPENSE OF ROAD RECONSTRUCTION AT VARIOUS LOCATIONS WITHIN THE CITY OF SYRACUSE, INCLUDING ALL LABOR, MATERIAL, EQUIPMENT, NECESSARY LEGAL FEES, ENGINEERING FEES, INSPECTION FEES AND MISCELLANEOUS COSTS REQUIRED THEREFOR; TOTAL COST \$1,850,000.00

BE IT ORDAINED, by the Common Council of the City of Syracuse as follows:

Section 1. For the class of objects or purposes of providing funds in the sum of One Million Five Hundred Thousand Dollars (\$1,500,00.00) to defray part of the cost and expense of road reconstruction at various locations within the City of Syracuse, including streets designated in Appendix "A" attached hereto, including all labor, material, equipment, necessary legal fees, engineering fees, inspection fees and miscellaneous costs required therefor, at a total cost not to exceed One Million Eight Hundred Fifty Thousand Dollars (\$1,850,000.00), there are hereby authorized to be issued general obligation bonds of the City of Syracuse in an amount not to exceed One Million Five Hundred Thousand Dollars (\$1,500,000.00), to be of the terms, form and contents hereinafter provided for, pursuant to the provisions of the Local Finance Law of the State of New York.

Section 2. One Million Eight Hundred Fifty Thousand Dollars (\$1,850,000.00) is estimated as the maximum cost of the class of objects or purposes for which bonds in the sum of One Million Five Hundred Thousand Dollars (\$1,500,00.00) are to be issued.

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Business Licenses



CENTRAL PERMIT OFFICE

City Hall Commons - Room 101

201 E. Washington St., Syracuse, NY 13202

Phone: (315) 448-4715 Fax: (315) 448-8615

 ${\it Email: Central Permit Office @syrgov.net}\\$

The Central Permit Office (CPO) offers a single location to request many different types of City approvals. The CPO will provide information, accept applications, and assist city residents and business owners who wish to:

- improve their properties (Zoning; Building/Site Permits)
- use or improve the City right-of-way
- · license their business
- \bullet purchase selected city properties (City/SURA/seizable properties)

Building Permits, Plan Review, Elevator Inspections and Certificates

Phone: (315) 448-8600

Email: DOCEPermits@SyrGov.net

Nick Altieri, Director of Permits - (315) 448-8601

Business Licensing

Phone: (315) 448-8474

Email: BusinessLicense@SyrGov.net

Pam Dalton, Business Licensing Coordinator

Pre-development

Phone: (315) 448-4754 Email: mmaywalt@SyrGov.net

Martha Maywalt, Director of Pre-development

Right-of-Way Permits

Phone: (315) 448-4714 Email: SamuelWhite@SyrGov.net

Sam White, Right-of-Way Permit Coordinator

Zoning Applications

Phone: (315) 448-8640 Email: Zoning@socpa.net

Mark Cramer, Research Aide - (315) 448-8634





Biography Comments

NEWS & PHOTOS

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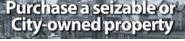


EXHIBIT #8





Home (https://www.syr.gov/Home) / 2023 (https://www.syr.gov/News/2023) / City News (https://www.syr.gov/News/2023/City-News) / City of Syracuse Opens Central Permit Office at One Park Place

City of Syracuse Opens Central Permit Office at One Park Place

Published on August 24, 2023

The City of Syracuse announced the Central Permit Office will reopen to walk-in visitors ahead of schedule on Friday, August 25 at its new One Park Place location at 300 South State Street. The new Central Permit Office is part of the move of City offices from City Hall Commons to One Park Place.

The office entrance for all visitors is located on the south side of the building, on East Onondaga Street. Limited off-street parking is available for visitors at the One Park Place Parking Lot, located at 343 East Onondaga Street. Regular office hours will be Monday through Friday from 8:30 a.m. to 4:30 p.m. The office entrance will have security and screening for all visitors.

The Central Permit Office helps residents and businesses request permission for different types of projects in the city, and issues the appropriate permits, licenses or inspections required. The City is actively moving its permitting process online to make the application process easier and more accessible to home and business owners. To learn more, visit Central Permit Office – City of Syracuse (https://www.syr.gov/Departments/Central-Permit-Office).

The Central Permit Office is one of many offices being relocated. The following departments and divisions are still closed to visitors until Tuesday, August 29th:

Citizen Review Board

- Code Enforcement
- Mayor's Office to Reduce Gun Violence
- Neighborhood and Business Development
- Neighborhood Watch
- Planning and Sustainability
- Syracuse Fire Department: Bureau of Fire Prevention
- Syracuse Police Department: Ordinance Enforcement
- Syracuse Police Department: Office of Professional Standards

For Media Inquiries

For media inquiries, members of the press should contact the Office of Communications by emailing press@syr.gov?subject=Media%20Inquiry%20from%20Online).

Related Information

Office of Communications (https://www.syr.gov/Departments/Communications)

Register for Media List (https://airtable.com/shrecBD9azOshIR3z)

<u>Media Relations Policy (https://www.syr.gov/Departments/Communications/Media-Relations-Policy)</u>

Tagged as:

City News & Press Releases

Section 5-808. - Audit and counsel.

EXHIBIT #9

The city auditor shall monthly examine the receipts and disbursements of the department of finance relating to licenses and shall advise the department of finance on the safeguarding and accounting of funds it receives relating to licenses. The corporation counsel shall provide the department of finance with legal representation in proceedings for refusal to issue, revocation and suspension of licenses and general legal advice in the conduct of its affairs and business relating to licenses.

(L.L. No. 8-1995, § 2)

EXHIBIT #10

The department of audit, headed by the city auditor, shall:

- (1) Conduct, at least annually, an audit (commonly known as a post-audit) of the affairs of every officer, department and board of the city, including the board of education and the Syracuse Housing Authority.
- (2) Conduct special audits whenever the mayor or council shall order them to be made.
- (3) Furnish copies of all audit reports to the official concerned, to the mayor and the council.
- (4) Make such recommendations for the improved administration of affairs of the city government as it shall deem proper.
- (5) Submit to examination of its accounts and audit procedures by accountants appointed by the council to make such examination.

(L.L. No. 1-1992, § 2)

CHAPTER 8. - DEPARTMENT OF FINANCE

EXHIBIT #11

Footnotes:

--- (5) ---

Cross reference— Financial affairs, Pt. L, § 1-21 et seq.; replacement of lost, destroyed warrants, Pt. L, § 1-31 et seq.; authority regarding the issuance of bonds, Pt. M, § 1-11 transacting business with city, Pt. M, § 1-26; taxation, Pt. L, Ch. 14, Pt. S, Ch. 19, Pt. M, Ch. 14.

Section 5-801. - Functions.

The department of finance, headed by the commissioner of finance, shall:

- (1) Collect all taxes, license and permit fees, and other moneys which may be legally due to or receivable by the city or any of its officers, departments, boards or commissions; provided that the council, by the affirmative vote of two-thirds of its membership, may authorize the receipt of moneys directly by officers, departments or boards, where economy of administration or public convenience requires.
- (2) Collect, when directed or authorized by law, all taxes, license and permit fees, and other moneys which may be legally due to or receivable by any public office, department or board in the city or in Onondaga county which is not generally covered by the provisions of this charter.
- (3) Sell property upon which taxes are not paid within the period prescribed by law.
- (4) Prepare tax bills for all taxes on real property in the city, and when appropriate, prepare tax bills for revenues and other claims due the city.
- (5) Issue receipts of all moneys collected by the department.
- (6) Maintain the treasury of the city, into which shall be deposited all moneys of the city.
- (7) Deposit daily the moneys of the city and moneys collected by the city for others in the depository banks and trust companies to the credit of the proper funds.
- (8) Keep accurate and complete accounts of all receivables, receipts and disbursements.
- (9) Assist in the administration of the annual budget and appropriations from the proceeds of and bonds or notes issued for capital purposes through the maintenance of commitment ledgers and see that all disbursements are pursuant to authorizations adopted under the terms of this chapter or applicable law.
- (10) Provide the mayor, council, the director of budget administration and other officers, departments or boards, information pertaining to their financial affairs which may be required by them for the proper discharge of their functions.

(11)

Prescribe the accounting system for any financial account maintained by any officer, department or board and to prohibit the keeping of any account which, in the judgment of the department, is unnecessary. In addition to other accounts and statements which may be called for by law or this charter, the department shall establish or prescribe accounts for municipal enterprises which derive a substantial part of their revenues from charges made to the public to show, on an accrual basis, the revenues earned and the expenses incurred in operating such enterprises. It shall also prepare or cause to be prepared for such enterprises, at least annually, balance sheets and operation statements based on these accounts; such statements to be in conformity with accepted accounting principles for such enterprises.

- (12) Maintain or supervise the maintenance of cost accounting systems.
- (13) Prepare all payrolls and such pension rolls as may be the responsibility of the city.
- (14) Prepare and issue all pay checks and pension or retirement checks.
- (15) Prepare the necessary bills for assessable public improvement and collect, deposit and make authorized payments of all moneys in connection therewith.
- (16) Approve all purchase orders and contracts as to availability of funds in the amounts and for the purposes set forth therein.
- (17) Designate with the approval of the mayor, the banks and trust companies to be used as city depositories and to see that the depository banks provide collateral in the amounts and of the types prescribed by law or ordinance.
- (18) Sell, when authorized by appropriate authority, bonds, notes, tax anticipation warrants, or other evidence of indebtedness of the city.
- (19) Send, not less than once each year, a notice to all persons from whom money is due the city demanding payment.
- (20) Issue, not more than sixty (60) days after the close of the fiscal year, an annual comprehensive report setting forth the results of fiscal operations. The report shall set forth the appropriations, receipts, disbursements and conditions of all funds. In issuing the annual report, the commissioner shall prepare the necessary year end transfers to balance all departmental expenditures.
- (21) Perform such other functions as may be assigned by this charter, the mayor or the council in connection with the fiscal affairs or management of the city.
- (22) Pay all valid claims against the city.
- (23) Purchase all materials, supplies, equipment and services required by the city except such services as the council by local law or ordinance may designate for procurement through other offices, departments and boards.

(24)

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Compile and maintain a comprehensive inventory of all furniture, supplies and equipment owned by or in possession of the city, showing cost, serial numbers, location and other pertinent information.

- (25) The Commissioner, subject to the approval of the Mayor, may create such bureaus or offices within the department to carry out any of the functions set forth in <u>Section 5-801</u>.
- (26) The Commissioner, subject to the approval of the Mayor, may designate a deputy commissioner or supervisor to manage any bureau or office created to carry out any of the functions set forth in <u>Section 5-801</u>.

(L.L. No. 22-1989, § 8; L.L. No. 1-1992, § 6; L.L. No. 1-2020, § 1, 1-27-20)

Section 5-801A. - Transfer of functions and completion of pending actions.

The transfer of certain purchase functions as set forth in this local law relating to the Division of Purchase under Section 206A of Article V of the Chapter of the city of Syracuse-1960, as amended, which are pending and which have not been completed by the director of management and budget before the effective date of the transfer of the functions of certain functions to the department of finance, as provided for herein, shall be administered, enforced and completed by the department of finance, in accordance with the applicable provisions of this Charter and the ordinances and regulations applicable to such purchasing functions or proceedings relating to the purchase of materials, supplies, equipment and services under the provisions of this local law.

(L.L. No. 1-2020, § 1, 1-27-20)

Section 5-801B. - References to purchase commissioner and/or the director of management and budget.

All references to the purchase commissioner and/or the director of management in any ordinance, local law and/or Charter of the city of Syracuse-1960, as amended, in relation to the certain purchase functions as set forth in this local law and transferred to the department of finance, be and are hereby amended to refer to the commissioner of finance or the designated deputy commissioner of finance and/or the department of finance.

(L.L. No. 1-2020, § 1, 1-27-20)

Section 5-802. - Payment of claims against the city.

Before paying any claim against the city, the commissioner of finance shall approve it as to validity in amount and purpose. He may require from any officer or employee of the city or of the claimant such sworn information as he shall deem necessary to establish the validity of the claim.

Section 5-803. - Assignment of employees to other departments.

The Department may assign its own employees to offices, departments or boards to collect moneys when the volume of work warrants such assignments; in other cases where an officer, department or board is authorized to receive moneys, it shall deputize an employee of such officer, department or board to act for the department in the receipt of such moneys.

Section 5-804. - Settlement of disputed claims.

The commissioner of finance shall execute no settlement of any disputed claim for any tax, license, damage covered by insurance, or other liability of any person to the city without the approval of the corporation counsel, the mayor and the president of council or any two (2) of them.

Section 5-805. - License functions.

The department of finance, headed by the commissioner of finance, shall:

- (1) Administer and enforce, except as may otherwise be provided by this Charter, statute or local law, all laws relating to licenses issued by the city.
- (2) Issue all such licenses and make all inspections, tests or examinations prerequisite to the issuance of such licenses.
- (3) Determine by inspection, in cooperation with the department of police, whether any person is in violation of the conditions of any license issued by it and to take any and all lawful action as may be necessary to enforce compliance with the conditions of such license.
- (4) Refuse, revoke or suspend any license applied for or issued by it, after notice and offer of an opportunity to be heard with respect thereto served in writing upon any applicant or licensee affected thereby.
- (5) Perform such other and further duties relating to licenses as may be prescribed by this Charter or other ordinance, local law or laws.

(L.L. No. 8-1995, § 2)

Section 5-806. - Definition of license.

For the purposes of this chapter, "license" shall mean any license, permit or other authorization required by law, the issuance of such is not assigned by this Charter or statute to some officer, department or board of the city other than the department of finance.

(L.L. No. 8-1995, § 2)

Section 5-807. - Procedures.

about:blank 4/6

- (1) The commissioner of finance, or a deputy commissioner of finance as designated by the commissioner, shall issue the licenses.
- (2) If the department of finance, through the commissioner of finance or the designated deputy commissioner, as provided in <u>section 5-807(1)</u>, determines to refuse to issue, revoke or suspend a license, it shall deliver in writing a notice of intention to so refuse, revoke or suspend such license to the applicant or licensee affected. Said notice shall afford said applicant or licensee the opportunity of a hearing in respect to such refusal, revocation or suspension before the commissioner or the designated deputy commissioner of finance, within ten (10) days following delivery of such notice. Upon the determination by the commissioner, or the designated deputy commissioner, following such hearing, any applicant or licensee shall have the right to judicial review thereof, pursuant to law.
- (3) The commissioner of finance may establish rules of procedure for hearings or licenses or permits and the revocation or suspension thereof, consistent with applicable law.

(L.L. No. 8-1995, § 2)

Section 5-808. - Audit and counsel.

The city auditor shall monthly examine the receipts and disbursements of the department of finance relating to licenses and shall advise the department of finance on the safeguarding and accounting of funds it receives relating to licenses. The corporation counsel shall provide the department of finance with legal representation in proceedings for refusal to issue, revocation and suspension of licenses and general legal advice in the conduct of its affairs and business relating to licenses.

(L.L. No. 8-1995, § 2)

Section 5-809. - Enforcement.

The department of police shall cooperate with the department of finance in the inspection and examination of applicants and licensees and in the enforcement of all ordinances and laws within the jurisdiction of the department of finance relating to licenses.

(L.L. No. 8-1995, § 2)

Section 5-810. - Revenues.

The department of finance shall comply with the regulations of the commissioner of finance with respect to the safekeeping, deposit and accounting of all revenues collected from the issuance of licenses.

(L.L. No. 8-1995, § 2)

Section 5-811. - Transfer of functions and completion of pending actions.

Any and all license applications and proceedings relating to licenses under Chapter 20 of Article V of the Chapter of the city of Syracuse—1960, as amended, which are pending and which have not been completed by the license commission and/or commissioner of licenses before the effective date of the transfer of the functions of the license commission to the department of finance, as provided for herein, shall be administered, enforced and completed by the department of finance, in accordance with the applicable provisions of this Charter and the ordinance and regulations applicable to such license applications or proceedings relating to licenses, under the provisions of this local law.

(L.L. No. 8-1995, § 2)

Section 5-812. - [References to license commission and/or the commissioner of license.]

All references to the license commission and/or the commissioner of licenses in any ordinance, local law and/or Charter of the city of Syracuse—1960, as amended, in relation to the functions transferred to the department of finance, be and are hereby amended to refer to the commissioner of finance or the designated deputy commissioner of finance and/or the department of finance.

(L.L. No. 8-1995, § 2)

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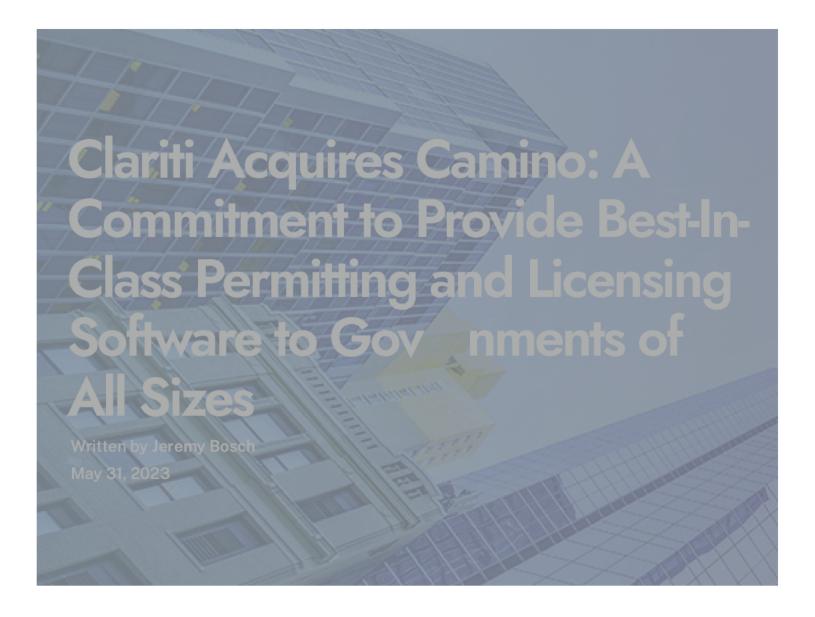
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EXHIBIT #12



Get a Demo





We're thrilled to announce the industry-changing acquisition of Camino Technologies, the top emerging permitting and licensing software company serving small and mid-sized government organizations.

Both companies will continue to focus on what we do best with increased investment in our products and teams that support customers: Clariti on serv

North America's largest and fastest growing communities with its Community Development Platform, and Camino on providing small and medium-sized governments with its intuitive, easy-to-use platform.

"Camino has developed the best next-generation product for small and mediumsized governments that will perfectly complement Clariti's leading enterprise permitting and licensing platform," says Clariti Co-CEO Cyrus Symoom. "Our commitment to both products will enable us to serve governments of all sizes for decades to come."

Together Clariti and Camino will deliver permitting and licensing software for over 150 million people.

"This is more than just business as usual for Camino," says Camino CEO Mike Rosengarten, "We have seen Clariti's commitment to product innovation that will now include Camino. They share in our vision of delivering exceptional customer experiences, which is why we're so excited to join forces with increased funding and support."

So what does this mean for Clariti's customers and customers-to-be?

- Enhanced Support and Service We've also raised funds to invest in the Clariti product, support and services teams. We expect Clariti's employee base to grow by 50% by the end of 2023. We will continue with our track record of investing dollars back into product and development.
- 2. More Innovation We will include Camino's Permit Guide as an add-on to enhance the Clariti offering to further differentiate Clariti's customer-facing applications. Moving forward, we'll look for opportunities to leverage technology from both platforms to improve customer experience. The investment in our product teams will help to ensure Clariti customers have

the most modern solutions available.

- 3. Long-Term Commitment We'll continue investing heavily in both products as part of our shared commitment to helping governments of all sizes deliver exceptional experiences online. The two best products for their target markets now sit under the Clariti brand. We are continuing to invest in delivering exceptional experiences for governments of all sizes across North America.
- 4. Adding More Experience The entire Camino Team, including its founders, are joining Clariti. With over 1000 government agencies using software developed by their core team across various companies, we continue to add some of the best and brightest people in GovTech to Clariti.
- 5. No disruption There will be no forced upgrades as a result of this acquisition. Customers of both companies will continue to enjoy enhancements to their offerings with their unique needs in mind. We remain committed to both product lines and the teams that have supported them for years.

We couldn't be more excited to usher in a new modern era of government permitting and licensing software. We look forward to working with government agencies of all sizes during a time of heightened pressure on government staff to deliver exceptional services to constituents.

"We will continue to look for ways to enhance the experience for Clariti and Camino customers and the communities they serve," says Co-CEO Jake Dancyger. "The services our customers provide to citizens and businesses are critical, and our commitment to delivering exceptional experiences is only bolstered through the two companies coming together."

For more information, contact us.

Previous Story

← 3 Reasons to Modernize Your Permitting Software



Next Story

Dona Ana County Selects Clariti's Community Development Software →



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Product

EXHIBIT #13

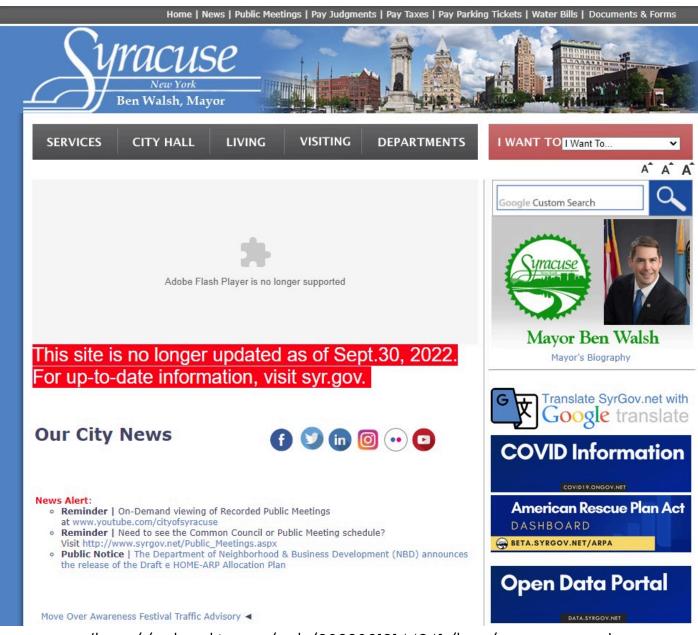




Home (https://www.syr.gov/Home) / Communications (https://www.syr.gov/Departments/Communications) / A New Website: syr.gov (https://www.syr.gov/Departments/Communications/Communications-Initiatives/2021-New-City-Website) / Where is syrgov.net?

Where is syrgov.net?

For the first time in nearly a decade and a half, visitors to the City of Syracuse website are seeing a new online presence and new web address for city government. Syracuse Mayor Ben Walsh announced the changeover to a reorganized and redesigned website on Friday, September 30. The city's legacy website has moved and is no longer being managed. It can be found at archive.syrgov.net (https://web.archive.org/web/20220812144941 /http://www.syrgov.net).



(https://web.archive.org/web/20220812144941/http:/www.syrgov.net)

EXHIBIT #14



HON. ALEXANDER MARION, MPA
CITY AUDITOR

January 29, 2024

Hon. Benjamin Walsh Mayor of the City of Syracuse City Hall 233 E Washington St Syracuse, NY 13202

RE: Department of Audit, Audit #2024-01

Dear Mayor Walsh,

Pursuant to the City Charter, Sections 5-501, 5-503, and 5-808, the Office of the City Auditor (OCA) is initiating Audit #2024-01: An Audit of the Licensing and Permitting Operations of the City of Syracuse.

This letter is intended to make you aware of our audit, to outline the objectives, scope, and methods to be used, and to provide a timeline for expected discovery and reporting. We will also outline next steps.

<u>Objectives</u>

Our audit objectives are as follows:

- 1) Determine the organizational structure and define roles; identify any organizational mission, goals, values, and/or objectives.
- 2) Determine if the organization is complying with current ordinances, and if their website, applications, licenses, and other documents/materials provide current, accurate, and reliable information.
- 3) Confirm the organization's receipts and disbursement reflect the fees established in ordinance, are properly accounted for, and that any waivers of fees are documented and justified.

Scope

The scope will cover <u>up to</u> an eighteen-month period from December 31, 2023 back through as late as July 1, 2022.

Objective one will look at the "one stop shop" city office which handles permits and licenses – known as the Central Permit Office (the CPO) with its co-located Licensing functions under the Department of Finance. Also included are any other city departments/staff who issue permits or licenses.

Objectives two and three will specifically look at licensing and will include a review of the various city departments which issue them. Permits is outside the scope of this engagement, but it is the view of the Office of the City Auditor that a review of permits is warranted and to be expected in the future.

Methods

OCA will use a variety of means during discovery and data collection to assess the objectives. These methods will include meetings, interviews, file and document reviews, research, physical inspections, site visits, staff and customer surveys, and comparison exercises. The OCA will request documents, files, reports, and access privileges throughout the engagement.

OCA intends to be a partner in this engagement. We recognize the time and effort required to assemble and produce documents takes away from staff's normal duties; OCA staff are committed to working with the audited entity to be as least intrusive as possible, while ensuring quality information is gathered in a timely manner.

Timeline

OCA would like to schedule an Audit Engagement Kick-off Meeting the week of February 5th.

At that meeting, OCA will provide the audited entity an opportunity to provide a general overview of their operations and note any strengths, weaknesses, opportunities, or threats they perceive. OCA will inquire about any major or notable leadership, reorganization, policy or program changes which have impacted operations. Additionally, copies of any prior studies, reports, audit findings or recommendations should be provided along with an update as to their current status. The audited entity should also share any key documents which guide the organization.

OCA will provide a more detailed list of the methods to be used and will provide a comprehensive list of requested documents. The two sides will establish a plan to submit the requested documents and to review and audit those files, documents, and systems needed in a timely manner.

Assuming prompt return of documents and easy access to files and other needed paperwork and systems, OCA believes a draft report can be expected by the end of March, with a Final Report completed by the end of April.

Next Steps

Kyle Madden, Deputy City Auditor, will be the Audit Supervisor for this engagement. He will be reaching out to representatives in your administration next week to arrange a meeting. We ask for your cooperation in assembling your team and scheduling the kick-off meeting in a timely manner.

Until a final audit is issued, OCA hereby requests that all city departments, bureaus, and personnel preserve, and do not destroy or tamper with, any records, documents, files, or reports, related to the issuance of, compliance with, or enforcement of permits and licenses, along with the same of their receipts and disbursements, as they may be subject to review or audit under this engagement.

My office looks forward to this engagement, and we hope your cooperation and support will provide us with findings and recommendations which can be realistically implemented to improve the operations of this entity to support our growing community.

If you should have any questions or concerns, or wish to discuss this Audit or other matters with me, please contact me directly.

Thank you for your attention and your cooperation.

Sincerely,

Alexander Marion, MPA Syracuse City Auditor

Cc: Common Council

City Clerk

Deputy Mayor Sharon Owens, Mayor's Office

Greg Loh, Mayor's Office

Corey Driscoll-Dunham, Mayor's Office

Frank Caliva, Mayor's Office

Commissioner Michael Collins, Neighborhood and Business Development

Commissioner Michael Cannizzaro, Department of Finance

Commissioner Jeremy Robinson, Department of Public Works

Commissioner Tony Williams, Department of Parks & Recreation

Fire Chief Michael Monds, Syracuse Fire Department

Police Chief Joseph Cecile, Syracuse Police Department

Deputy Commissioner Jake Dishaw, Code Enforcement and Zoning Administration

Deputy Commissioner Annemarie Deegan, Department of Finance

Eli Niyihakuye, Central Permit Office

Jessica Brandt, Central Permit Office

Corrine Hubbard, Central Permit Office

| License | Key Definitions | Sections | Fee | Expiration | Governing Body | Fines | Display Rules | Waivers |
|---|---|---------------------------------|--|---|---|---|--|---------|
| Acrobatic Performance | | 5-1 to 5-8 | | "Each license under section 5-1 where the fee is fixed at a stated amount per year shall expire on December 31 of the year or portion thereof for which such license is issued." (5-7) | "Licenses required under section 5-1 shall be issued by the city clerk" (5-4) | | | |
| Amusement Center Owner/Operator (Amusement Operator's License) | Amusement center means any indoor place, enclosure or location in which is maintained or operated for the amusement, patronage or recreation of the public, any coin-controlled amusement device of any description, and particularly, but not by way of limitation, the type commonly known as Iron-claw, bagatelle games, baseball, football, bowling, interactive television games, pinball amusement games and jukebox, videoljukebox or like device. Owner or operator of an amusement device means any person who owns, places, distributes or locates an amusement device or devices in any place in which it is operated for the amusement, patronage or recreation of the public. (5-38) | 5-1 to 5-8; 5-38 to 5- 61 | "\$100.00 per year" (5-6) | "Each license under section 5-1 where the fee is fixed at a stated amount per year shall expire on December 31 of the year or portion thereof for which such license is issued." (5-7) "Every license under this article shall expire on the thirty-first day of December next succeeding the date of issuance thereof. Except that licenses approved after October 31 and certificates issued upon such licenses shall expire on the second succeeding December 31." (5-47) | "Licenses required under section 5-1 shall be issued by the city clerk" (5-4) "the commissioner of licenses shall issue the license" (5-46) | "Except as otherwise provided herein, any person violating any of the provisions of this article for which no specific penalty is provided shall be guilty of a violation, and shall, upon conviction thereof, be liable to a fine or penalty of not more than fifty dollars (\$50.00) for each offense." (\$50.00) for each offense." | | |
| Amusement Center (having coin-controlled devices) | Amusement center means any indoor place, enclosure or location in which is maintained or operated for the amusement, patronage or recreation of the public, any coin-controlled amusement device of any description, and particularly, but not by way of limitation, the type commonly known as iron-claw, bagistelle games, baseball, football, bowling, interactive television games, pinball amusement games and jukebox, videojukebox or like device. (5-38) | 5-1 to 5-8; 5-38 to 5- 61 | *\$75.00 per year or fraction thereof for each center* (5-6) | "Each license under section 5-1 where the fee is fixed at a stated amount per year shall expire on December 31 of the year or portion thereof for which such license is issued." (5-7) "Every license under this article shall expire on the thirty-first day of December next succeeding the date of issuance thereof. Except that licenses approved after October 31 and certificates issued upon such licenses shall expire on the second succeeding December 31." (5-47) | "Licenses required under section 5-1 shall be issued by the city clerk" (5-4) "the commissioner of licenses shall issue the license" (5-46) | "Except as otherwise provided herein, any person violating any of the provisions of this article for which no specific penalty is provided shall be guilty of a violation, and shall, upon conviction thereof, be liable to a fine or penalty of not more than fifty dollars (\$50.00) for each offense." (\$6.00) | "Amusement operators licensed under this article shall be required to purchase a certificate for each amusement center location. The fee for each certificate purchased shall be five dollars (\$5.00). The amusement operator shall prominently display such certificate in the amusement center location. The certificate shall bear a serial number, owner's or operator's name and license number, the name of the amusement center location, the date on which the license expires and the number of Jukeboxes and other amusement devices which the license permits to be located at the amusement center." (5-48) | |

| License | Key Definitions | Sections | Fee | Expiration | Governing Body | Fines | Display Rules | Walvers |
|---|--|---------------------------------|--|--|---|---|--|---------|
| Amusement Center (Juke-box only) | Amusement center means any indoor place, enclosure or location in which is maintained or operated for the amusement, patronage or recreation of the public, any coin-controlled amusement device of any description, and particularly, but not by way of limitation, the type commonly known as iron-ciaw, bagatelle games, baseball, football, bowling, interactive television games, pinball amusement games and jukebox, videojukebox or like device. Jukebox means and includes any music vending machine, contrivance or device which, upon the insertion of a coin, slug, token, plate, disc or key into any slot, crevice or other opening, or by the payment of any price, operates or may be operated for the emission of songs, music, video, or combination thereof. For purposes of this article, jukeboxes shall not be counted as amusement machines. (5-38) | 5-1 to 5-8; 5-38 to 5- 61 | *\$25.00 per year or fraction thereof for each center* (5-6) | "Each license under section 5-1 where the fee is fixed at a stated amount per year shall expire on December 31 of the year or portion thereof for which such license is issued." (5-7) "Every license under this article shall expire on the thirty-first day of December next succeeding the date of issuance thereof. Except that licenses approved after October 31 and certificates issued upon such licenses shall expire on the second succeeding December 31." (5-47) | "Licenses required under section 5-1 shall be issued by the city clerk" (5-4) "the commissioner of licenses shall issue the license" (5-46) | "Except as otherwise provided herein, any person violating any of the provisions of this article for which no specific penalty is provided shall be guilty of a violation, and shall, upon conviction thereof, be liable to a fine or penalty of not more than fifty dollars (\$50.00) for each offense." (\$50.00) for each offense. | "Amusement operators licensed under this article shall be required to purchase a certificate for each amusement center location. The fee for each certificate for each actificate for each certificate for each certificate for each certificate in the amusement operator shall prominently display such certificate in the amusement center location. The certificate shall bear a serial number, owner's or operator's name and license number, the name of the amusement center location, the date on which the license expires and the number of jukeboxes and other amusement devices which the license permits to be located at the amusement center." (5-48) | |
| Amusement Location Game/Amusement Device | Amusement device means any coin-controlled amusement device of any description, and particularly, but not by way of limitation, the type commonly known as iron-claw, bagatelle, baseball, football, bowling, interactive television games, and pinbalt amusement games or like device. The definition herein, however, shall exclude any coin-controlled device, firearms, guns, air guns, slingshots or slung shots, and similar devices or apparatus which propel bullets, slugs or other hard substances; said definition shall also exclude any device the possession or use of which is prohibited by law. (5-38) | | "Amusement decise (including juke-box): \$25.00 per year or fraction thereof for each machine owned, payable in advance." (5-6) | "Each license under section 5-1 where the fee is fixed at a stated amount per year shall expire on December 31 of the year or portion thereof for which such license is issued." (5-7) "Every license under this article shall expire on the thirty-first day of December next succeeding the date of issuance thereof. Except that licenses approved after October 31 and certificates issued upon such licenses shall expire on the second succeeding December 31." (5-47) | "Licenses required under section 5-1 shall be issued by the city clerk" (5-4) "the commissioner of licenses shall issue the license" (5-46) | "Except as otherwise provided herein, any person violating any of the provisions of this article for which no specific penalty is provided shall be guilty of a violation, and shall, upon conviction thereof, be liable to a fine or penalty of not more than fifty dollars (\$50.00) for each offense." (\$50.00) for each offense." | "Every amusement device shall prominently display the name, address and telephone number of the licensed amusement operator indicated on the location certificate." (5-48) | |

| License | Key Definitions | Sections | Fee | Expiration | Governing Body | Fines | Display Rules | Walvers |
|-------------------|---|----------------------------------|---|---|--|---|---|---------|
| Bingo | Bingo or game means a specific game of chance, commonly known as bingo or lotto, in which prizes are awarded on the basis of designated numbers or symbols on a card conforming to numbers or symbols selected at random. (5-78) | 5-1 to 5-8; 5-74 to 5- 105 | "shall issue a license to the applicant for the holding, operation and conduct of the specific kind of games of chance applied for upon payment of a license fee or fees of the nodiscopies (\$10.00) for each occasion upon which any games of chance are to be conducted under such license." (5-82) | "Each license under section 5-1 where the fee is fixed at a stated amount per year shall expire on December 31 of the year or portion thereof for which such license is issued." (5-7) | "Licenses required under section 5-1 shall be issued by the city clerk" (5-4) | "Any person who shall make any false statement in any application for any license under this article, or in any statement annexed thereto; or shall pay any rental for the use of any premises for holding, operating or conducting any game of chance under this article, or for any other purpose in connection with the holding, operating or conducting thereof, unless the amount of such rental is stated in a statement annexed to the application for the license sprovided in section 480 of article 14-H of the General Municipal Law, as amended, or shall pay or receive any sum for such rental in excess of the sum stated as the rental to be charged therefor in exch statement executed by him or, if a corporation or association, on its behalf; or shall fall to keep such books and records as shall fully and truly record all transaction connected with the holding, operating and conducting of games of chance under any such license; or shall fallsify or make any false entry in any book or record so far as they relate to any transaction connected with the holding, operating or conducting of any game of chance under any such license; or shall violate any of the provisions of this article, or of article 14-H of the General Municipal Law, as amended, or of any term of such license, shall be gailty of a misdemeanor and shall forfielt any license issued to him or it under this article and be inteligible to apply for a license under this article for one year thereafter." (5-104) | "Each license issued for the conduct of any game or games of chance shall be conspicuously displayed at the place where same is to be conducted at all times during the conduct thereof." (5-85) | |
| Games of Chance | Bingo or game means a specific game of chance, commonly known as bingo or lotto, in which prizes are awarded on the basis of designated numbers or symbols on a card conforming to numbers or symbols selected at random. (5-76) | 5-1 to 5-8; 5-74 to 5- 105 | "shall issue a license to the applicant for the holding, operation and conduct of the specific kind of games of chance applied for upon payment of a license fee or fees of ten dollars (\$1.00) for each occasion upon which any games of chance are to be conducted under such license." (\$5-82) | "Each license under section 5-1 where the fee is fixed at a stated amount per year shall expire on December 31 of the year or portion thereof for which such license is issued." (5-7) | "Licenses required under section 5-1 shall be issued by the city clerk" (5-4) | "Any person who shall make any false statement in any application for any license under this article, or in any statement annexed thereto; or shall pay any rental for the use of any premises for holding, operating or conducting any game of chance under this article, or for any other purpose in connection with the holding, operating or conducting thereof, unless the amount of such rental is stated in a statement annexed to the application for the license as provided in section 480 of article 14-H of the General Municipal Law, as amended, or shall pay or receive any sum for such rental in excess of the sum stated as the rental to be charged therefor in such statement executed by him or, if a corporation or association, on its behalf; or shall fall to keep such books and records as shall fully and truly record all transaction connected with the holding, operating and conducting of games of chance under any such license; or shall fallsify or make any false entry in any book or record so far as they relate to any transaction connected with the holding, operating or conducting of any game of chance under any such license; or shall violate any of the provisions of this article, or of article 14-H of the General Municipal Law, as amended, or of any term of such license, shall be guilty of a misdemeanor and shall forfiet any license issued to him or it under this article and be ineligible to apply for a license under this article for one year thereafter." (5-104) | "Each license issued for the conduct of any game or games of chance shall be conspicuously displayed at the place where same is to be conducted at all times during the conduct thereof." (5-85) | |
| Charitable Gaming | | 5-1 to 5-8 | | "Each license under section 5-1 where the fee is fixed at a stated amount per year shall usepire on December 31 of the year or portion thereof for which such license is issued." (5-7) | "Licenses required under section 5-1 shall be issued by the city clerk" (5-4) | | | |

| License | Key Definitions | Sections | Fee | Expiration | Governing Body | Fines | Display Rules | Walvers |
|--|-----------------|----------------------------------|--|---|--|-------|---------------|---------|
| Circus (Indoor or Outdoor) | | 5-1 to 5-8 | "Circus of less than 50 railroad cars or other vehicles: \$100.00 per day; Circus of over 50 railroad cars or other vehicles: \$200.00 per day; Circuses of over 75 railroad cars or other vehicles: \$300.00 per day. Indoor circuses not otherwise provided for: \$25.00 per day (24 hours)" (5-6) | amount per year shall | "Licenses required under section 5-1 shall be issued by the city clerk" (5-4) | | | |
| Common Showman | | 5-1 to 5-8 | | "Each license under section 5-1 where the fee is fixed at a stated amount per year shall expire on December 31 of the year or portion thereof for which such license is issued." (5-7) | "Licenses required under section 5-1 shall be issued by the city clerk" (5-4) | | | |
| Concert | | 5-1 to 5-8 | "Concerts not otherwise provided for: \$15.00 per day (24 hours); No person shall be required to pay in excess of one hundred fifty dollars (\$150.00) for licenses during any calendar year for concerts not otherwise provided forregardless of the number of such daily activities engaged in by such person" (5-6) | section 5-1 where the fee is fixed at a stated amount per year shall expire on December 31 of the year or portion thereof for | "Licenses required under section 5-1 shall be issued by the city clerk" (5-4) | | | |
| Curiosity (Articifical or Natural) | | 5-1 to 5-8 | | "Each license under section 5-1 where the fee is fixed at a stated amount per year shall expire on December 31 of the year or portion thereof for which such license is issued." (5-7) | "Licenses required under section 5-1 shall be issued by the city clerk" (5-4) | | | |
| Dance | | 5-1 to 5-8; 5-106 to 5 129 | "Dance permits - one night: \$10.00 each; No person shall be required to pay in excess of one hundred fifty dollars (\$150.00) or licenses during any calendar year fordance permits—one night, regardless of the number of such daily activities engaged in by such person." (5-6) | fee is fixed at a stated amount per year shall expire on December 31 of the year or portion thereof for | public dance, public ball, | | | |

| License | Key Definitions | Sections | Fee | Expiration | Governing Body | Fines | Display Rules | Walvers |
|--|--|----------------------------------|--|---|--|-------|---------------|---------|
| Public Dance, Dancing/Dancing Hall | Public dance or public ball means all dances, balls, dancing, entertainment, cabarets, and parties where dancing is held after the original program, to which admission can be had by payment of a fee, by the purchase, possession or presentation of a ticket or token, or in which a charge is made for the caring of the clothing or other property, or by assessment or contributions of the participants, or any other dance to which any of the public generally may be admitted with or without the payment of a fee. Public dance hall means any room, place or space in which a public dance or public ball may be held, or any hall or academy in which classes in dancing are held or instruction in dancing is given. Hotel dining room applies to bona fide hotels of good reputation used exclusively as a house for the entertainment and care of travelers and others of the public generally. | 5-1 to 5-8; 5-106 to 5 129 | | "Each license under section 5-1 where the fee is fixed at a stated amount per year shall expire on December 31 of the year or portion thereof for which such license is issued." (5-7) | public dance, public ball, entertainment or party where dancing is held after the original program, or to hold classes in dancing, or to give instruction in | | | |
| Exhibition - Paintings | | 5-1 to 5-8 | "Exhibition not otherwise provided for: \$55.00 per day (24 hours)" (5-6) | "Each license under section 5-1 where the fee is fixed at a stated amount per year shall expire on December 31 of the year or portion thereof for which such license is issued." (5-7) | "Licenses required under section 5-1 shall be issued by the city clerk" (5-4) | | | |
| Exhibition - Statuary | | 5-1 to 5-8 | "Exhibition not otherwise provided for: \$5.00 per day (24 hours)" (5-6) | "Each license under section 5-1 where the fee is fixed at a stated amount per year shall expire on December 31 of the year or portion thereof for which such license is issued." (5-7) | "Licenses required under section 5-1 shall be issued by the city clerk" (5-4) | | | |
| Feats of Horsemanship | | 5-1 to 5-8 | | "Each license under section 5-1 where the fee is fixed at a stated amount per year shall expire on December 31 of the year or portion thereof for which such license is issued." (5-7) | "Licenses required under section 5-1 shall be issued by the city clerk" (5-4) | | | |
| Feats of Legerdemain | | 5-1 to 5-8 | | "Each license under section 5-1 where the fee is fixed at a stated amount per year shall expire on December 31 of the year or portion thereof for which such license is issued." (5-7) | "Licenses required under section 5-1 shall be issued by the city clerk" (5-4) | | | |

| License | Key Definitions | Sections | Fee | Expiration | Governing Body | Fines | Display Rules | Walvers |
|------------------------|-----------------|------------|--|---|--|-------|---------------|---------|
| Feats of Necromancy | | 5-1 to 5-8 | | "Each license under section 5-1 where the fee is fixed at a stated amount per year shall expire on December 31 of the year or portion thereof for which such license is issued." (5-7) | "Licenses required under section 5-1 shall be issued by the city clerk" (5-4) | | | |
| Jukeboxes | | 5-1 to 5-8 | "\$25.00 per year or fraction thereof for each machine owned, payable in advance" (5-6) | "Each license under section 5-1 where the fee is fixed at a stated amount per year shall expire on December 31 of the year or portion thereof for which such license is issued." (5-7) | "Licenses required under section 5-1 shall be issued by the city clerk" (5-4) | | | |
| Floor Show | | 5-1 to 5-8 | Floor show or entertainment in restaurant and hotel dining rooms (one night only): \$10.00 per night. Floor show or entertainment in restaurant and hotel dining rooms with seating capacity of tess than? \$2: \$150.00 per year, \$75.00 after July 1; Floor show or entertainment in restaurant and hotel dining rooms with seating capacity of 75 to 150: \$200.00 per year, \$100.00 after July 1; Floor show or entertainment in restaurant and hotel dining rooms with seating capacity of 150 to 250: \$250.00 per year, \$125.00 after July 1; Floor show or entertainment in restaurant and hotel dining rooms with seating capacity of 150 to 250: \$250.00 per year, \$125.00 after July 1; Floor show or entertainment in restaurant and hotel dining rooms with seating capacity of over 250: \$250.00 per year, \$75.00 after July 1° | "Each license under section 5-1 where the fee is fixed at a stated amount per year shall expire on December 31 of the year or portion thereof for which such license is issued." (5-7) | "Licenses required under section 5-1 shall be issued by the city clerk" (5-4) | | | |

| License | Key Definitions | Sections | Fee | Expiration | Governing Body | Fines | Display Rules | Walvers |
|--------------------------|---|------------|--|--|---|--|--|---------|
| Motion Picture Show | | 5-1 to 5-8 | Motion picture shows with seating capacity of less than 600: \$50.00 per year, \$25.00 after July 1; Motion picture shows with seating capacity of 600 to 800: \$35.00 per year, \$17.50 after July 1; Motion picture shows with seating capacity of 800 to 1,000: \$60.00 per year, \$30.00 after July 1; Motion picture shows with seating capacity of 1,000 to 1,200: \$85.00 per year, \$42.50 after July 1; Motion picture shows with seating capacity of 1,200 to 1,400: \$110.00 per year, \$55.00 after July 1; Motion picture shows with seating capacity of 1,200 to 1,400: \$110.00 per year, \$55.00 after July 1; Motion picture shows with seating capacity over 1,400: \$200.00 per year, \$150.00 after July 1; [5-6] | "Each license under section 5-1 where the | "Licenses required under section 5-1 shall be issued by the city clerk" (5-4) | | | |
| Motion Picture Device | Miniature motion picture device shall mean any machine, apparatus or other device designed or used to show motion pictures in which the projector, screen and other apparatus necessary for showing motion pictures are enclosed in a moveable or portable structure or container and which is used to show motion pictures to members of the public for a sum of money or other thing of value and which is located in a place operated for amusement, patronage, or entertainment of the public. (5-131) | 5-1 to 5-8 | "The fee for a license under this article shall be two hundred fifty dollars (\$250.00) per year or fraction thereof for each device, payable in advance." (5-138) "Owners or operators of miniature motion picture devices licensed under this article shall be required to purchase a tag or seal for each device in operation in any public place. The fee for each tag or seal purchased shall be five dollars (\$5.00). Such tag or seal shall be affixed to the device in a prominent place. The tag or seal shall be affixed to the device in a prominent place. The tag or seal shall be affixed to the device in a prominent place. The tag or seal shall be affixed to the device in a prominent place. The tag or seal shall be affixed to the device in a prominent place. The tag or seal shall be and serial number and the owner's or operator's name and license number." (5-141) | fee is fixed at a stated amount per year shall expire on December 31 of the year or portion thereof for which such license is issued." "Every license under this article shall expire on the thirty-first day of December next | "Licenses required under section 5-1 shall be issued by the city clerk" (5-4) "No person shall own, operate or maintain a miniature motion picture device without first obtaining a license from the city commissioner of licenses in the manner provided for in this article." (5-133) | "Any miniature motion picture device operated or maintained in violation of the terms of this article may be seized in compliance with the terms and provisions of the statutes of the state. Any person who shall perate or maintain any device without first obtaining a license, as provided by this article, shall be guilty of a misdemeanor." (5-149) | Owners or operators of miniature motion picture devices licensed under this article shall be required to purchase a tag or seal for each device in operation in any public place. The fee for each tag or seal purchased shall be the dollars (\$5.00). Such tag or seal shall be affixed to the device in a prominent place. The tag or seal shall bear a serial number and the owner's or operator's name and license number. (5-141) | |
| Opera Performance | | 5-1 to 5-8 | | "Each license under section 5-1 where the fee is fixed at a stated amount per year shall expire on December 31 of the year or portion thereof for which such license is issued." (5-7) | "Licenses required under section 5-1 shall be issued by the city clerk" (5-4) | | | |
| Picture Show | | 5-1 to 5-8 | | "Each license under section 5-1 where the fee is fixed at a stated amount per year shall expire on December 31 of the year or portion thereof for which such license is issued." (5-7) | "Licenses required under section 5-1 shall be issued by the city clerk" (5-4) | | | |

| License | Key Definitions | Sections | Fee | Expiration | Governing Body | Fines | Display Rules | Walvers |
|--|-----------------|------------|---|---|--|-------|---------------|---------|
| Professional Basketball | | 5-1 to 5-8 | "\$100.00 per year. \$25.00 per day (24 hours)" (5-6) | "Each license under section 5-1 where the fee is fixed at a stated amount per year shall expire on December 31 of the year or portion thereof for which such license is issued." (5-7) | "Licenses required under section 5-1 shall be issued by the city clerk" (5-4) | | | |
| Professional Hockey | | 5-1 to 5-8 | "\$100.00 per year. \$25.00 per day (24 hours)" (5-6) | "Each license under section 5-1 where the fee is fixed at a stated amount per year shall expire on December 31 of the year or portion thereof for which such license is issued." (5-7) | "Licenses required under section 5-1 shall be issued by the city clerk" (5-4) | | | |
| Skating/Skating Rink/Roller Skating Rink | | 5-1 to 5-8 | "\$150.00 per year, \$25.00 per month" (5-6) | "Each license under section 5-1 where the fee is fixed at a stated amount per year shall expire on December 31 of the year or portion thereof for which such license is issued." (5-7) | "Licenses required under section 5-1 shall be issued by the city clerk" (5-4) | | | |
| "Any Other Amusement for the Public" | | 5-1 to 5-8 | | "Each license under section 5-1 where the fee is fixed at a stated amount per year shall expire on December 31 of the year or portion thereof for which such license is issued." (5-7) | "Licenses required under section 5-1 shall be issued by the city clerk" (5-4) | | | |
| Open-Air-Cultural Event (Sponsored by a nonprofit to display and/or sell paintings, works of art, jewlery, handicraft, etc.) | | 5-1 to 5-8 | "\$15.00 per day" (5-6) | "Each license under section 5-1 where the fee is fixed at a stated amount per year shall expire on December 31 of the year or portion thereof for which such license is issued." (5-7) | "Licenses required under section 5-1 shall be issued by the city clerk" (5-4) | | | |

| License | Key Definitions | Sections | Fee | Expiration | Governing Body | Fines | Display Rules | Walvers |
|-------------------|--|-------------------|---|---|--|---|--|---------|
| Juice Bar | Juice bar shall mean a business on the premises that meets all the following criteria: (1)Does not serve alcohol or have an alcohol beverage control license; (2)Does not prepare and serve food, except as an incidental part of the business; and (3)The business has live or recorded music and permits dancing with or without music. (5-153) | 5-151 to 5 164 | "annual juice bar license fee of two hundred fifty dollars (\$250.00)" (5-156) | "Juice bar licenses shall be valid until December 31 of the year for which the Juice bar license is issued unless the license is suspended or revoked." (5-158) | "the commissioner of finance shall issue a juice bar license to the owner for the juice bar in accordance with the terms of this section." (5-156) | "(a)Criminal penalties. Any owner who operates and/or maintains a juice bar without a juice bar license or in violation of the provisions of the article shall be guilty of an offense and upon conviction shall be punishable by a fine of not less than fifty dollars (\$5.00) nor more than one hundred fifty dollars (\$150.00) or imprisonment for not more than fifteen (15) days or both for each offense. (b)Civil penalty—Imposition of cumulative civil penalty. Any owner who operates and/or maintains a juice bar without a juice bar license or in violation of the provisions of the article shall be subject to a cumulative civil penalty of fifty dollars (\$5.00) per day for each separate violation. The penalty may be collected by the corporation counsel by action or special proceeding against the owner. (CEInforcement of civil penalty, 11) the corporation counsel may maintain an action or special proceeding in a court of competent jurisdiction for the recovery of civil penalties, together with costs and disbursements. (2)In addition to any action or special proceeding for civil penalty as provided above, the corporation counsel may bring such action or special proceedings an ecessary to enjoin the owner from continuing to operate or maintain any juice bar in violation of the terms of this article. "(5-163) | "The owner of any juice bar shall cause the juice bar license to be posted in a conspicuous place visible to the public on the premises of the juice bar." (5-157) | |
| Bill Poster | | 7-1 to 7- 18 | "For a bill poster's license \$50.00" (7-8) | "Licenses under this article, unless granted on a monthly basis, shall expire at the end of the calendar year in which granted." (7-9) | "Licenses under this article shall be issued by the city clerk and shall be signed by him and by the mayor." (7-5) | | | |
| Bill Distribution | | 7-1 to 7- 18 | "For a bill distribution license: Per year35.00 Per month10.00" (7-8) | "Licenses under this article, unless granted on a monthly basis, shall expire at the end of the calendar year in which granted." (7-9) | "Licenses under this article shall be issued by the city clerk and shall be signed by him and by the mayor." (7-5) | | | |
| Buses | Bus means any motor propelled vehicle, including jitneys or jitney buses, operated over the streets and public places of the city for the purpose of carrying passengers for hire which receives and discharges persons along the route traversed by said vehicle. Bus does not mean or include motor propelled vehicles used exclusively for sightseeing purposes, or exclusively as hotel buses, or any taxicab or any airport bus, as defined in chapter 25 of these Revised General Ordinances or other motor propelled vehicle which is rented from a fixed stand in the street or from a private or public garage and the destination of which is under the direction of the passenger or passengers transported therein. (8-1) | 8-1 to 8- 36 | "The annual license fee shall be three hundred dollars (\$300.00) for each bus, except that in the case of licenses for intrastate buses having a terminus within the city and governed by the provisions of section 8-20, the annual license fee shall be one hundred fifty dollars (\$150.00)." (8-29) | "Every license shall expire on June thirtieth next following its issuance, unless sooner revoked." (8-28) | "Upon approval of the application as provided in section 8-23, and upon payment of the license fee and compliance with the requirements as to liability insurance hereinatter provided, a license shall be issued to the applicant by the city clerk, countersigned by the mayor." (8-24) | | "No person shall operate a bus within the city unless he shall carry on the front thereof a sign, plainly lettered and readable by night and day, giving the route to be traversed. Such sign shall be approved by the chief of police." (8-14) | |

| License | Key Definitions | Sections | Fee | Expiration | Governing Body | Fines | Display Rules | Walvers |
|--|---|-------------------|---|---|---|--|---|---------|
| Taxicabs - Ground Transportation License | Airport bus driver license shall mean the license issued by the city to a driver of an airport bus entitling the licensee to drive an airport bus. Ground transportation licenses shall mean a vehicle license entitling an owner or operator to utilize a licensed vehicle as a taxicab or airport bus within the pursdiction of the city. Taxicab shall mean a motor vehicle equipped with a taximeter, having a seating capacity for passengers of not more than eight (8) persons, in addition to the driver, and used in the business of transporting passengers for compensation from one point to another and not operated on a fixed route. Taxicab driver shall mean any person who drives a taxicab, whether he is the owner or operator of the taxicab or is employed by a taxicab owner or operator. Taxicab driver license shall mean the license issued by the city to a driver of a taxicab, which entitles the licensee to drive a taxicab. | 25-1 to 25 103 | "Any person procuring a ground transportation license as an owner or operator of a taxicab or airport bus as provided in section 25-4 of this chapter, shall pay to the commissioner of licenses of the city of Syracuse, prior to the issuance of the license the sum of three hundred dollars (\$300.00) during the period July 1, 2011 through June 30, 2012; and three hundred dollars (\$300.00) for each annual period from July 1 to June 30 thereafter" (25-10) | | "The commissioner of licenses shall issue a ground transportation license" (25-8) | "Any person violating any of the provisions of this chapter shall be guilty of a violation and upon conviction thereof, shall be liable to a fine not to exceed one hundred fifty dollars (\$150.00) or by imprisonment for a period not to exceed fifteen (15) days, or both, in addition to civil penalties." (25-98) | "If, upon inspection, a vehicle for which a ground transportation license is being sought, is found to be of lawful construction and in proper condition, and upon approval of the application by the chief, the commissioner of licenses shall lissue to the application by the chief, the commissioner of licenses shall lissue to the applicant a ground transportation license in the form of a card not less than three (3) by ax (6) inches in size, and containing the official license number of the vehicle and the date of inspection. Such card shall contain blank spaces upon which an entry shall be made of the date of every inspection of the vehicle by the chief. The license card shall be of a distinctly different color each year. When such license has been issued, the license shall also be issued a ground transportation license tag with a number corresponding to the license card number, furnished by the city for use during the period for which said license has been issued. The tag shall at all times be attached to the exterior of such vehicle in a place approved by the chief, so as to be plainly visible at all times." (25-12) "Before operating any taxicab within the jurisdiction of the city, the licensee shall have painted in colors contrasting to the taxicab in a conspicuous place on both sides of the taxicab, the printed word "taxicab" or "taxi" together with the words "license on." or "lic. no." and the ground transportation number." (25-70) | |
| Taxicabs - Taxicab Driver's License/Airport Bus Driver's License | Airport bus driver license shall mean the license issued by the city to a driver of an airport bus entitling the licensee to drive an airport bus. Taxicab driver license shall mean the license issued by the city to a driver of a taxicab, which entitles the licensee to drive a taxicab. (25-2) | 25-1 to 25 103 | "No application for a driver's license including renewals shall be approved unless the application is accompanied by a nonrefundable fee in the amount of fifty dollars (\$50.00)." | "Upon approval by the chief, the commissioner of licenses shall cause a taxicab driver's license or airport bus driver's license to be issued to the applicant for the ensuing one-year term." (25-25) | "Upon satisfactory fulfillment of the foregoing requirements, and approval of the application by the chief, the commissioner of licenses shall issue to the applicant a driver's license which shall be in such form as to contain a photograph and signature of the licensee." (25-23) | | "Upon satisfactory fulfillment of the foregoing requirements, and approval of the application by the chief, the commissioner of licenses shall issue to the applicant a driver's license which shall be in such form as to contain a photograph and signature of the licensee. Each license shall be stamped with the seal of the city upon at least a portion of the photograph. All licenses shall be numbered in the order in which they are lissued and shall contain the name of the licensee and the dates of issuance and expiration of the license." (25-23) | |
| Bicycle | | 29-1 to 29 6 | The chief of police shall issue the registration ticket plate or identifying device and the bicycle license or registration card to every registrant, without charge. (29-3) | "registration shall be effective from January first of the year following such registration to and including January thirty first of the next succeeding year (29-1) | "The chief of police shall issue the registration ticket plate or identifying device and the bicycle license or registration card" (29-3) | "Any person violating this ordinance [chapter] shall be guilty of an offense and liable to a fine of not to exceed ten dollars (\$10.00)." (29-5) | | |
| Auctioneer | | 9-1 to 9- 20 | "shall be one hundred dollars (\$100.00)" (9-6) | "shall expire on the thirty-first day of December next succeeding the day on which it is issued" (9-7) | "without first obtaining a license from the city clerk" (9-2) | "shall be liable to a fine or penalty of not more than one hundred fifty dollars (\$150.00) for each offense" (9-20) | | |
| Going-Out-of- Business Sales | "Publish," "Publishing of advertisement," "advertising," "sale" (9-22) | 9-21 to 9- 38 | "a fee of fifty dollars (\$50.00). If any such application be disapproved, such payment shall be returned to the applicant less the sum of five dollars (\$5.00) which shall be retained by the city to defray the cost of investigating statements contained in such application" (9-31) | "shall be for a period not exceeding thirty (30) days" (9-29) | The city clerk is authorized to supervise and regulate sales as defined in section 9-22 and to issue appropriate licenses therefor (9-24) | "shall be punishable by a fine of not more than one hundred dollars (\$100.00), or by imprisonment not exceeding staty (60) days, or by both such fine and imprisonment" (9-38) | "Upon commencement of any sale hereunder, the license therefor shall be conspicuously displayed near the entrance to the premises." (9-32) | |

| License | Key Definitions | Sections | Fee | Expiration | Governing Body | Fines | Display Rules | Walvers |
|--------------------------------------|--|--------------------|--|--|---|--|--|--|
| Junk Collector Without A Yard | Junk collector without a yard means a person carrying on the business of collecting Junk who does not maintain a yard or other fixed premises for the carrying on of such business. (9-39) | 9-39 to 9- 42 | "shall be twenty-five dollars (\$25.00) per year" (9-41) | "per year" (9-41) | "No person shall engage in the business of junk collector without a yard unless he first obtains from the city clerk a license therefor" (9-40) | | | |
| Newsstand/Sidewa lk Newsstand | Newsstand or sidewalk newsstand means any table, box, stand or other structure within the sidewalk space of any street for the sale, display or storage of newspapers. (9-43) | 9-43 to 9- 65 | "shall be ten dollars (\$10.00)" (9-57) | "unless sooner terminated or revoked, expire at the end of the calendar year in which issued." (9-58) | "The city clerk is authorized to issue newsstand licenses" (9-54) | "not exceeding one hundred fifty dollars (\$150.00) for each offense" (9-65) | | |
| Nonresident Bankrupt Sales | | 9-66 to 9- 67 | "shall be five hundred dollars (\$500.00) per year (or fraction)" (9-66) | "shall expire on the thirty-first day of December in the year in which issued" (9-67) | | | | |
| Damaged Goods Clothing Sales | | 9-66 to 9- 67 | "shall be five hundred dollars (\$500.00) per year (or fraction)" (9-66) | "shall expire on the thirty-first day of December in the year in which issued" (9-67) | | | | |
| Pawnbrokers | | 9-68 to 9- 77 | "shall be two hundred dollars (\$200.00); provided, that if a maximum fee of less than such amount is hereafter prescribed by the General Business Law, or other applicable law of the state of New York, then in such event such lesser maximum fee shall apply" (9-71) | "shall expire one year from the date of issuance thereof" (9-72) | "the city clerk is hereby designated as the licensing authority of the city, with full authority to issue licenses hereunder" 9-68 | | | |
| Peddiers & Peddiers Assistants | Peddler shall mean an individual, who sells or offers for sale any food, goods, wares, merchandise or services within the city of Syracuse. Peddler shall not include the sale or delivery of newspapers or periodicials. "Charitable," "Vehicle," "Licensee" (9-78) | 9-78 to 9- 87.4 | Tee for a license under this article shall be: \$75.00 per month. \$50.00 per week. \$20.00 per day." (9-83) | "The expiration date of the license shall be printed on the license" (9-84) | "Upon filing the license application, payment of the fee prescribed and acceptance thereof by the commissioner of finance or his/her designee, the applicant shall be entitled to issuance of a license, unless the commissioner of finance or his/her designee, after due notice and hearing, finds good cause to refuse to Issue such license." (9-82) | "a fine not to exceed one hundred fifty dollars (\$150.00) in amount, or imprisonment not to exceed fifteen (15) days or both such fine and imprisonment, or to a penalty not exceeding five hundred dollars (\$500.00) to be recovered by the city of Syracuse in a civil action" (9-87.3) | "With each license so issued to any peddler, there shall be delivered by the commissioner of finance or his/her designee, at no additional charge beyond the license fee, a badge bearing the license number, the applicant's name, photograph, license expiration date, and description of goods, wares, merchandise and other items to be sold. Such badge shall be worn in a conspicuous place on the person of the licensee while englaged in transacting business under the license." (9-86) | "A waiver for licensing fees shall be granted to any honorably discharged service-member who has procured a license as provided by the General Business Law of the State of New York, who is disabled as a result of injuries received while in the military service of the United States and who has otherwise compiled with \$32 of said General Business Law." (9-83.1) |

| License | Key Definitions | Sections | Fee | Expiration | Governing Body | Fines | Display Rules | Walvers |
|--|---|-------------------|--|---|--|---|---|---------|
| Transient Retail Business | Transient retail business means a business conducted in a store, hottel, house, building or structure for the sale at retail of goods, wares or merchandise, excepting food products, and which is intended to be conducted for a temporary period of time and not permanently. If the place in which a business is conducted is rented or leased for a period of six (6) months or less, such fact shall be presumptive evidence that the business carried on therein is a transient business. (9-88) | 9-88 to 9- 97 | Pursuant to the provisions of the General Municipal Law as amended, a tax shall be levied upon all persons now conducting, or who may hereafter conduct a transient retail business in the city. The tax under section 9-95 shall be based upon the gross amount of sales and shall be computer at the same rate at other property is taxed for the year in the city." (9-95, 9-96) | "Licenses hereunder shall state the place where the business is to be conducted, and the date of expiration of the term of such business pursuant to the license" (9-93) | "shall obtain a license to do so from the city clerk" (9-89) | *Any person failing to pay said tax or violating any of the provisions of this article shall be guilty of a misdemeanor* (9-97) | | |
| Secondhand Dealers | Secondhand dealer means any person, corporation, partnership, unincorporated association and the agents or employees of such entities, engaged in the commercial exchange, purchase and/or sale of secondhand article for any purpose and of whatever nature. (There are exemptions - see code) (9-98) | 9-98 to 9- 104 | "shall pay an annual license fee of two hundred fifty dollars (\$250.00) for each established place of business. Notwithstanding any provision herein contained, the license fee for a limited duration license shall be fifty dollars (\$50.00) per day." (9-101) | "Said license shall be valid, unless otherwise revoked, for the calendar year in which the same is issued and every said license shall expire at midnight on December 31 of said year." (9-99) | Before any person, corporation, partnership, unincorporated association or the agents or employees of such entities shall engage in the business as a secondhand dealer in the city of Syracuse, said person, corporation, partnership, unincorporated association or the agents or employees of such entities shall obtain a license to do so from the commissioner of finance." (9-99) | "A secondhand dealer who fails to comply with the provisions of this section [article] shall be guilty of a class A misdemeanor as defined in Section 55.10 of the Penal Law of the State of New York" (9-104) | "Every secondhand dealer shall display, in a conspicuous place within his place of business, a copy of this ordinance [article] furnished by the police department together with a copy of the license issued to the secondhand dealer." (9-102) | |
| Junk Dealer | Junk dealer means any person engaging in the wholesale and/or retail business of purchasing and/or selling, at or from a yard or other fixed premises, any of the following articles: Old ropes, rags, paper, oil, iron, brass, copper, lead, zinc or any article or thing which, from its worn condition, renders it useless for the purpose for which it was made. | 9-105 to 9 111 | The license fee under this article shall be one hundred fifty dollars (\$150.00)" (9-108) | | "shall obtain a license so to do from the department of engineering, bureau of code enforcement and licensing" (9-106) | "Any person violating any of the provisions of this ordinance [article] shall, upon conviction thereof, be punished by a fine of not exceeding five hundred dollars (\$500.00), or by imprisonment not exceeding one hundred fifty (150) days, or by both such fine and imprisonment." (9-111) | "Every junk dealer shall display, in a conspicuous place within his place of business, a copy of this ordinance furnished by the police department together with a sign, giving his name and occupation legibly inscribed thereon in letters of the English language not less than three (3) inches in height and lines not less than one-fourth (¼) inch in width." (9-109) | |
| Mechanical Contractors (See Below) | See Below | 9-112 to 9 126 | *\$150.00 to \$300.00* (9-125) | "each license shall expire on the December 31 following the date of its issuance or renewal" (9-121) | There shall be established a board of mechanical examiners to examine applicants for various mechanical licenses as set forth and defined in this article and to perform such other duties as set forth under the provisions of this articleThe board shall be responsible for the establishment and maintenance of a city licensing system for mechanical contractors. They shall establish the minimum qualifications for each mechanical license issued pursuant to this article, and they shall eview and approve applicants for mechanical licenses based upon the qualifications established herein, and they shall develop or adopt examinations, therefor." (9-120) | "A license holder or nonlicense holder, who shall violate any of the provisions of this article shall be guilty of a misdemeanor and upon conviction thereof, by a court of competent jurisdiction, shall be punished by a fine not to exceed one hundred fifty dollars (\$150.00) or by imprisonment for a period not to exceed one hundred fifty (150) days or both for each individual violation." | "Have the license on his person at all times when performing mechanical work and present it upon request of an authorized representative of the division." (9-121) | |

| License | Key Definitions | Sections | Fee | Expiration | Coverning Rody | Fines | Display Rules | Walvers |
|--|---|----------|---------------------|------------|----------------|--------|---------------|----------|
| Livelise | Chemical based fire suppression mechanical license shall mean a | Sections | 166 | Expiration | Governing Body | I HICS | Display nules | TTGIVE13 |
| Mechanical Contractor - Chemical based fire suppression mechanical license | license which is issued to an individual who has proven his qualifications and ability, via examination, and has been authorized by the board to possess this type of license. It shall entitle the holder thereof to engage in the business of, and to secure permits for, the layout, installation, alteration, testing, maintenance, and repair of any chemical based fire suppression system. (9-115) | | \$150.00 (9-125) | | | | | |
| Mechanical Contractor - Flammable and combustible liquid mechanical license | Flammable and combustible liquid mechanical license shall mean a license, which is issued to an individual who has proven his qualifications and ability, via examination, and has been authorized by the board to possess this type of license. It shall entitle the holder thereof to engage in the business of, and to secure permits for, the installation, removal, alteration, maintenance and repair of any flammable and combustible liquid piping and tank system. (9-115) | | \$150.00 (9-125) | | | | | |
| Mechanical Contractor - Limited HVAC mechanical license | Limited HVAC mechanical license shall mean a license which is issued to an individual who has proven his qualifications and ability, via examination, and has been authorized by the board to possess this type of license. It shall entitle the holder thereof to engage in the business of, and to secure permits for, the installation, alteration, maintenance, and repair of any heating system, ventilation system, and air conditioning system in new or existing residential structures intended or designed for or used as one-family and two-family and multiple-dwellings, which include permanent and transient occupancy, including but not limited to, apartments, hotels, motels, lodging houses, clubs, dormitoris, fraternity and sorority houses, senior citizen housing, adult care facilities, and other medium sized commercial buildings which utilize a maximum of thry-ton AC units, boilers of up to a maximum of thry-thon AC units, boilers of up to a maximum of five hundred (200) MBH input, furnaces of up to a maximum of free hundred (100) tons. However, the maintenance and repair of larger sized equipment is permitted with this license. (9-115) | | \$300.00 (9-125) | | | | | |
| Mechanical Contractor - Limited refrigeration mechanical license | Limited refrigeration mechanical license shall mean a license, which is issued to an individual who has proven his qualifications and ability, via examination, and has been authorized by the board to possess this type of license. It shall entitle the holder thereof to engage in the business of, and to secure permits for, the installation, alteration, maintenance and repair of any supermarket/retail food/beverage and small manufacturing process refrigeration system and/or equipment. (9-115) | | \$150.00 (9-125) | | | | | |
| Mechanical Contractor - Master HVAC mechanical license | Master HVAC mechanical license shall mean a license which is issued to an individual who has proven his qualifications and ability, via examination, and has been authorized by the board to possess this type of license. It shall entitle the holder thereof to engage in the business of, and to secure permits for, the installation, alteration, maintenance, and repair of any heating system, ventilation system, air conditioning system and flammable and combustible liquid piping or tank system. (9-115) | | \$300.00 (9-125) | | | | | |

| License | Key Definitions | Sections | Fee | Expiration | Governing Body | Fines | Display Rules | Walvers |
|--|--|----------|---------------------|--------------|----------------|---------|---------------|---------|
| Mechanical Contractor - Master refrigeration mechanical license | Master refrigeration mechanical license shall mean a license, which is issued to an individual who has proven his qualifications and ability, via sufficient applicable education and/or experience, and examination, and has been authorized by the board to possess this type of license. It shall entitle the holder thereof to engage in the business of, and to secure permits for, the installation, alteration, maintenance and repair of any and all types of refrigeration systems. (9-115) | 2000/13 | \$150.00 (9-125) | E-Agen BUUST | oreimg body | 1 11110 | Vispuy runca | TUTTE |
| Mechanical Contractor Residential HVAC mechanical license | Residential HVAC mechanical license shall mean a license which is issued to an individual who has proven his qualifications and ability, via examination, and has been authorized by the board to possess this type of license. It shall entitle the holder thereof to engage in the business of, and to secure permits for, the installation, alteration, maintenance and repair of any heating system, ventilation system and air conditioning system in new or existing residential structures intended or designed for or used only as the home or residence of not more than two (2) distinct families, and small commercial buildings of up to two thousand five hundred (2,900) square feet utilizing air conditioning of up to a maximum of five (5) tons, furnaces of up to a maximum of two hundred (200) MBH input, and boilers of up to a maximum three hundred ninety-nine (399) MBH input. | | \$300.00 (9-125) | | | | | |
| Mechanical Contractor - Special HVAC mechanical license | Special HVAC mechanical license shall mean a license which is issued to an individual who has proven his qualifications and ability, via examination, and has been authorized by the board to possess this type of license. It shall entitle the holder thereof to engage in the business of, and to secure permits for, the installation, alteration, maintenance and repair of any commercial kitchen hood exhaust and make-up air systems, connecting ductwork, grease filter, fire and/or motorized dampers. (9-115) | | \$150.00 (9-125) | | | | | |
| Mechanical Contractor - Special refrigeration mechanical license | Special refrigeration mechanical license shall mean a license, which is issued to an individual who has proven his qualifications and ability, via examination, and has been authorized by the board to possess this type of license. It shall entitle the holder thereof to engage in the business of, and to secure permits for, the installation, alteration, maintenance and repair of any retail food/beverage and small process refrigeration system. (9-115) | | \$150.00 (9-125) | | | | | |
| Mechanical Contractor - Water based fire suppression mechanical license | Water based fire suppression mechanical license shall mean a license, which is issued to an individual who has proven his qualifications and ability, via examination, and has been authorized by the board to possess this type of license. It shall entitle the holder thereof to engage in the business of, and to secure permits for, the layout, installation, alteration, testing, maintenance and repair of any water based fire suppression system. (9-115) | | \$150.00 (9-125) | | | | | |

| License | Key Definitions | Sections | Fee | Expiration | Governing Body | Fines | Display Rules | Walvers |
|--|--|---------------------|--|--|--|--|--|--|
| Solicitors & Solicitors Assistants | Solicitor shall refer to a door-to-door solicitor. A solicitor is a person or entity who, by going from house to house, or business to business, sells or offers for sale any food, goods, wares, merchandise, or services. This will include the soliciting of orders or offers for food, goods, wares, merchandise, or for services to be performed in the future or for making, manufacturing or repairing any article or thing for future delivery. Similarly, this term shall not include the delivery of newspapers or periodicals. (9-137) | 9-137 to 9 143.4 | "The fee for a license under this article shall be: Solicitor: \$350.00 per year." (9-142.1) | "Annual licenses shall expire one year from the date of issue. The expiration date of the license shall be printed on the license." (9-142.3) | "Application for a license shall be made in writing to the commissioner of finance or his/her designee" (9-140) | "committing an offense against this article shall be guilty of an infraction punishable by a fine not to exceed one hundred fifty dollars (\$150.00) in amount, or imprisonment not to exceed fifteen (13) days or both such fine and imprisonment, or to a penalty not exceeding five hundred dollars (\$500.00) to be recovered by the city of Syracuse in a civil action." (9-143.4) | With each license so issued to any peddler or solicitor, there shall be delivered by the commissioner of finance or his/her deslignee, at no additional charge beyond the license fee, a badge bearing the license number, the applicant's name, photograph, license expiration date, and description of goods, weres, merchandise and other items to be sold. Such badge shall be worn in a conspicuous place on the person of the licensee while engaged in transacting business under the license. No such licensee shall carry on such business without such badge being worn." (9-142.5) | "A waiver for licensing fees shall be granted to any honorably discharged service- member who has |
| Sentry Dogs | A sentry guard dog as used in this article shall mean a dog highly trained professionally to attack a human being attempting to enter a specific property area. (9-145) | 9-145 to 9 154 | "The license fee under this article shall be three dollars (\$3.00) per year." (9-148) | "A license issued under this article shall expire on December 31 of the year in which issued." (9-149) | | | "Every business establishment within the city of Syracuse which shall use the services of a sentry guard dog provided by a business licensed hereunder shall be required to display in a prominent place on the front and rear of the building a sign of a type which has been approved by the chief of fire indicating that a sentry dog is stationed therein." (9-150) | |
| Snow Removal Contractors | Snow removal contractor shall mean any person, company and/or organization engaged in the business of snow removal on properties they do not own for compensation by utilizing any of the following equipment: Truck with plow, jeep with plow, pay loader, road grader or tractor. (9-155) | 9-155 to 9 163.2 | "The fee for a license under this article shall be fifty dollars (\$50.00) per year. There shall be an additional fee of ten dollars (\$10.00) per additional piece of snow removal equipment being utilized by the snow removal contractor." (9-159) | "Licenses under this article shall be issued annually for each winter season." (9-156) | "Before any snow removal contractor shall engage in the business of snow removal in the city said person shall obtain a license to do so from the license division of the finance department." (9-156) | "Any snow removal contractor violating any provisions of this article shall upon conviction thereof be punished by a fine not exceeding three hundred fifty dollars (\$\$50.00). Notwithstanding the previous subsection (a) in instances where any snow removal contractor operates in the city without first obtaining a snow removal license shall be subject to a fine of one hundred fifty dollars (\$150.00)." (9-162) | "Every licensee shall cause the licensed snow removal equipment to be numbered by the numbers indicated by the commissioner of licenses, who shall furnish to such licensee, at the time of the issuance of the license a decal bearing such identification number and the year of issuance of the license. Such decal shall be at all times affixed to and remain affixed to the snow removal equipment so licensed in a conspicuous place where same may be plainly seen during the life of such license." (9-160) | |
| Scrap Processors | Scrap processor shall mean any person, association, partnership or corporation operating and maintaining a "scrap metal processing facility. (9-164) | 9-164 to 9 169 | "The annual fee for a license under this article shall be two hundred dollars (\$200.00)." (9-167) | "Each license shall expire on June 30 of the year next ensuing except a license issued between January 1, 1977 to June 30, 1977 shall expire on June 30, 1977." (9-165) | "It shall be unlawful for any person, association, partnership or corporation to engage in business as a scrap processor shall have complied with the provisions of this article and obtained a license to do so from the commissioner of licenses." (9-165) | "Each violation of this article by a scrap processor shall be a violation subject to a fine of not more than two hundred dollars (\$200.00), unless such violation shall be withul, in which event it shall be a misdemeanor except, however, the scrap processor shall not be liable for any violation of this article by a seller, his agent, or a purported seller or agent." (9-169) | | |
| Ambulances | Ambulance means any privately owned vehicle equipped or used for transporting the injured or sick. (4-2) | 4-1 to 4- 23 | "The fee for an ambulance operator's license shall be twenty five dollars (\$25.00) payable to the commissioner of licenses." (4-13) | "Each license hereunder shall expire on December 31 of the year in which issued." (4-14) | "The commissioner of licenses shall issue a license upon such recommendation by the commissioner of health." (4-12) | "Violation of any provision of this chapter shall be a misdemeanor punishable upon conviction thereof, by a fine not to exceed one hundred fifty dollars (\$150.00) or by imprisonment for not to exceed one hundred fifty (150) days in the Onondaga Penitentiary, or by both such fine and imprisonment." (4-13) | | |

| License | Key Definitions | Sections | Fee | Expiration | Governing Body | Fines | Display Rules | Walvers |
|---|---|----------|--|--|--|---|---|---------|
| Conveying Systems Licenses | Conveying System or Conveying Systems shall mean all equipment covered by ASME A17.1, ASME A18.1, ASME A90.1, ASME B20.1, ALI ALCTV, ASCE 24 and Chapter 30 of the Building Code of New York State, which includes but is not limited to automotive lifts, elevators, escalators, dumbwaiters, wheelchair lifts, stair lifts, platform lifts, stairway chairlifts, belt manlifts, material lifts and conveyors. (11-7) | 11-7 | | "Each License shall expire on the December 31st following the date of its issuance or renewal" (11-7) | "A License shall be issued by the Division to each applicant who has been approved by the Board" (11-7) | "A License holder, or non-license holder, who shall violate any of the provisions of Chapter 14 shall be guilty of a misdemeanor and upon conviction thereof, by a court of competent jurisdiction, shall be punished by a fine not to exceed \$150.00 or by imprisonment for a period not to exceed one hundred fifty (150) days or both for each individual violation." (11-7) | "Have the License on his person or posted in a conspicuous place at his place of business at all times when performing Conveying System work covered by this Code and present it upon request of an authorized representative of the Division." (11-7) | |
| Conveying Systems - Installer's License | Installer shall mean any person who possesses an Installer's License issued in accordance with the provisions of this Code, who is engaged in the business of erecting, constructing, installing, altering, maintaining, testing, repairing, and/or Dismantling of Conveying Systems and who will supervise licensed Mechanics. Installer's License shall mean a License which is issued to an Installer's License shall mean a License which is issued to an Installer who has proven Installer's qualifications and ability, via examination and has been authorized by the Board to possess this License. It shall entitle the holder thereof to engage in the business of, and securing Permits for, the erecting, constructing, installing, altering, maintaining, testing, repairing and/or dismantling Conveying Systems. (11-7) | 11-7 | The fees for administering tests and issuing Licenses for the various classes of License holders shall be: Installer: Initial \$300.00 (11-7) | | | | | |
| Conveying Systems - Limited Installer's License | Limited Installer shall mean any person who possesses a Limited Installer's License issued in accordance with the provisions of this Code and who is engaged in the business of erecting, constructing, installing, altering, maintaining, testing, repairing and/or Dismantling inclined stairway chairlifts and inclined and vertical wheelchair lifts and any other equipment covered by ASME A18.1. Limited Installer's License shall mean a License which is issued to a Limited Installer, who has proven the Limited Installer's qualifications and ability, via examination, and has been authorized by the Board to possess this License. It shall entitle the holder thereof to engage in the business of, and securing Permits for, the erecting, constructing, installing, altering, maintaining, testing, repairing and/or Dismantling inclined stairway chairlifts and inclined and vertical wheelchair lifts and any other equipment covered by ASME A18.1. (11-7) | 11-7 | The fees for administering tests and issuing Licenses for the various classes of License holders shall be: Limited Installer: Initial \$150.00 (11-7) | | | | | |
| Conveying Systems - Mechanic's License | Mechanic shall mean any person who possesses a Mechanic's License issued in accordance with the provisions of the Code, who is engaged in the business of erecting, constructing, installing, altering, maintaining, testing, repairing and/or Dismantling of Conveying Systems, who works under the supervision of a licensed Installer and who will supervise apprentices. Mechanic's License shall mean a License duly issued to a Mechanic who has proven the Mechanic's qualifications and ability, via examination, and has been authorized by the Board to possess this License. It shall entitle the holder thereof to engage in the business of erecting, constructing, installing, altering, maintaining, testing, repairing and/or dismantling of Conveying Systems under the supervision of a licensed installer. | 11-7 | The fees for administering tests and issuing Licenses for the various classes of License holders shall be: Mechanic: Initial \$150.00 (11-7) | | | | | |

| License | Key Definitions | Sections | Fee | Expiration | Governing Body | Fines | Display Rules | Walvers |
|-------------------------------|--|---------------------|---|---|---|--|--|---------|
| Waste Hauler License | Waste hauler shall mean any person, including any waste generator, who engages in providing facilities, equipment, or service for the storage, collection, transportation, and/or disposal of any waste material or substance defined in this article. Waste hauler license or municipal hauler license shall mean the license issued by the city pursuant to section 14-15 hereof as a necessary prerequisite to a person operating a collection vehicle in the city of Syracuse. No waste hauler license or municipal hauler license shall be issued to a person who does not possess a valid hauler permit. (14-14) | 14-11 to 14-25.4 | "The application processing fee shall be one hundred and fifty dollars (\$150.00)." (14-16) The hauler shall attach a city of Syracuse sticker which must be visibly and securely affixed to the driver's side vent window or upper part of the driver's side of the windshield of each of the hauler vehicles in operation. The fee for each sticker shall be two hundred and seventy dollars (\$270.00)." (14-16B) | "Waste hauler or municipal hauler licen ses shall be issued for a period of one year. Ucenses shall be valid from January 1 of each year or the later date of issuance through December 31 of each year. No proration of license is provided for." [14-16] | "Waste hauler or municipal hauler licenses shall be issued by the commissioner of finance after review and approval of the waste hauler license application by D.P.W. License application forms shall be provided by the commissioner of D.P.W. or the commissioner of finance" (14-16) | "Violation of any provision of this article pertaining to the licensure, or operation of solid waste collection vehicles shall be punishable as follows: First violation of an operating provision within twelve (12) consecutive months: \$250.00." (14-15) | The hauler shall attach a city of Syracuse sticker which must be visibly and securely affixed to the driver's side vent window or upper part of the driver's side of the windshield of each of the hauler vehicles in operation. The fee for each sticker shall be two hundred and seventy dollars (\$270.00).* (14-168) | |
| Food Vendor License | Food vendor is A person, general or limited partnership, corporation or limited liability company that hawks, peddies, sells or offers food for sale at retail in any public space or park or a concession stand situated in a park owned by the city of Syracuse. (14-38) | 14-38 to 14-53 | "Food vendor license: Class A locations:\$1,500.00 Class B locations:\$000.00 Class C locations:500.00" (14-44) | "Each license shall expire, unless sooner revoked as herein provided, on December 31, of the year in which issued." | "The commissioner of finance is hereby authorized to award permits for food vendors" (14-50) | "Any person violating any of the provisions of this article shall be guilty of a misdemeanor and shall, upon conviction thereof, be liable to a penalty or fine of not more than one hundred fitly dollars (\$150.00) or imprisonment for not more than one hundred (100) days, or by both such fine and imprisonment." (14-51) | "Every food vendor and mobile food vendor shall affix to the vendor's vehicle, pushcart, stand, mobile vendor stand or park concession stand in a conspicuous place where the same may be plainly seen during the term of said license the metal plate bearing an identification number and the year of the issuance of the license issued by the commissioner of finance. Every vendor selling without a vehicle, pushcart, or stand shall carry on the vendor's person the metal plate bearing the identification number and the year of the issuance of the license issued by the commissioner of finance." (14-46) | |
| Mobile Food Vendor License | Mobile food vendor is A person, general or limited partnership, corporation or limited liability company that hawks, peddles, sells or offers food for sale at retail from a mobile vendor stand parked upon a city street in a location approved by the city of Syracuse. (14-38) | 14-38 to 14-53 | "(b)Mobile food vendor license\$500.00 (c)Vehicle vendor of unprepared foods300.00 (d)Limited license for one week100.00" (14-44) | Each ticense shall expire, unless sooner revoked as herein provided, on December 31, of the year in which issued. (14-45) | "The commissioner of finance is hereby authorized to award permits for food vendors" (14-50) | "Any person violating any of the provisions of this article shall be guilty of a misdemeanor and shall, upon conviction thereof, be liable to a penalty or fine of not more than one hundred fitly dollars (\$150.00) or imprisonment for not more than one hundred (100) days, or by both such fine and imprisonment." (14-51) | "Every food vendor and mobile food vendor shall affix to the vendor's vehicle, pushcart, stand, mobile vendor stand or park concession stand in a conspicuous place where the same may be plainly seen during the term of said license the metal plate bearing in identification number and the year of the issuance of the license issued by the commissioner of finance. Every vendor selling without a vehicle, pushcart, or stand shall carry on the vendor's person the metal plate bearing the identification number and the year of the issuance of the license issued by the commissioner of finance." (14-46) | |
| Towing Company License | Towing company is A person engaged in the towing business or offering towing services, whereby motor vehicles are towed or otherwise removed from one place to another by use of vehicle designed or adapted for that purpose. (46-1) | 46-1 to 46 22 | The annual fee for a towing company license shall be two hundred dollars (\$200.00). Payment of the fees shall be due upon application for the license.* | "Every license issued hereunder shall expire on the fifteenth day of April next succeeding the day on which it was issued." (46-6) | "An application for a towing company license shall be made to the commissioner of licenses" (46-4) | "Any person violating any of the provisions of this chapter shall be guilty of a violation and upon conviction thereof, shall be liable to a fine not to exceed one hundred fifty dollars (\$150.00) or by imprisonment for a period not to exceed fifteen (15) days, or both, in addition to civil penalties." (46-17) | The owner and operator of a towing company shall cause the towing company license to be posted in a conspicuous place on the premises of the towing company and shall also cause a copy of said license to be available for inspection in each towing vehicle used by the company. The commissioner of licenses shall issue a decal which shall be displayed on the rear window of each towing vehicle in an area not obstructing the driver's view. Every license shall receive one decal, the cost of which shall be included in the cost of the license. Any additional decals needed will cost twenty-five dollars (\$25.00) per decal." (46-5) | |

| License | Key Definitions | Sections | Fee | Expiration | Governing Body | Fines | Display Rules | Walvers |
|------------------|---|---|---|---|---|---|---|---------|
| Marriage License | | 2-17c | "Issuance of a marriage license \$ 15.00" (2-17c) | | The city clerk shall have a room in which shall be placed the records and documents of the city of which he has custody. Except as provided in sections 2-1 4 and 2-15, the city clerk shall have custody of the records of the common council, of the various departmentments of the city, and of all other books, records and documents that appertain to the office of the city clerk and of those which are referred to him by the common council." | | | |
| Dog License | Dog means any member of the species canis familiaris. | Article 7 Ag & Markets Law 16-25.1 to 16-25.14 | "Total annual fee for each spayed or neutered dog10.00 Total annual fee for each unspayed or unneutered dog20.00" (16-25.5.2) | | "The owner of any dog reaching the age of four (4) months shall immediately make application to the city clerk for a dog license on a form provided by the city clerk's Office." (16.25.5) | | "When a dog is originally licensed, a City of Syracuse identification number will be assigned and an identification tag shall be issued, which shall be worn by the dog at all times." (16.25.7) | |
| BootingLicense | Booting shall mean the clamping, affixing or locking of a vehicle immobilization device onto the wheel of a motor vehicle to prevent the wheel from rotating, thereby immobilizing the vehicle. (56-3) | 56-1 to 56 16 | "A minimal fee of two hundred dollars (\$200.00) shall be paid for each license issued hereunder." (56-8) | "All licenses shall be issued for a one year period." (56-6) | "the central permit office shall issue a license to the applicant" (56-9) | "Notwithstanding any other penalty provision of the Revised General Ordinances of the City of Syracuse, a violation of any provision of this chapter shall be punishable by a mandatory minimum fine for the first violation thereof of fifty dollars (\$50.00), and by a mandatory minimum fine of one hundred dollars (\$100.00) for a second or subsequent offense, with the maximum fine in each and every instance that may be imposed not to exceed two hundred fifty dollars (\$250.00)." (56-11) | "(a)No owner of private property shall boot or cause to be booted any motor vehicle from property owned by him unless there is erected and maintained upon such property, at the entrances and exits to such property, a sligh containing a warning that parking thereon is restricted to authorized persons only, that unauthorized parking or trespassing is prohibited and that vehicles of trespassers or unauthorized persons will be booted. Such slights shall be not less than tweely (12) inches by eightteen (18) inches in size, and lettering therein shall be not less than one inch in size. Included on such sign shall be the fee amount authorized by the City of Syracuse pursunt to section 55-4 above, (b)Mil information on the above required signs must be flied with the City of Syracuse Central Permit Office. The owner shall inform the central permit office, in writing, of any changes to the content of such sign within ten (10) days of such change." | |

| License | Key Definitions | Sections | Fee | Expiration | Governing Body | Fines | Display Rules | Walvers |
|--------------------------------|---|---------------------|--|--|--|--|---|---------|
| Tobacco Retail License | | 16-1 to 16 21 | | "shall be valid for a period of one (1) year from the date of issuance, unless sooner suspended or revoked." (16-3) | "As of effective date of this Article, a valid Tobacco Retail License issued by the Division in compliance with this Article shal be required to sell, offer for sale, or to permit the sale of a Covered Product to consumers in the City in accordance with the terms hereof." (16-3) | this Article shall be liable for civil penalty of not more than \$3,500.00 for the first violation, not more than \$7,000.00 for the | "Any Tobacco Retail License issued pusuant to this Article shall be conspicuously displayed at the location where a Cowered Product is sold or offered for sale fo that it is really visible to customers." (16-11) | |
| Business Certificate of Use | "Bar shall mean one or more of the following: (1)A building or portion thereof where alcoholic beverages are sold for consumption on the premises; (2)A building or portion thereof operated for profit or pecuniary gain or as a place of assembly where alcoholic beverages are provided by the operator of the premises, his or her agents, servants or employees, or are brought onto said premises by persons assembling there. Drugstore shall mean a building or portion thereof where prescription drugs are sold at retail, together with dry goods, food or beverages. Food store means a building or portion thereof which is devoted, in whole or part, to the sale of dry goods and food and beverages to be consumed off the premises. Restaurant shall mean a building or portion thereof where food is sold to be consumed off the premises. Restaurant shall mean a building or portion thereof where food is sold to be consumed of the three of the premises or anack is available but is incidental to the conduct of the business at the premises or a college or university dining halls. Smoking establishment shall mean a building or portion there where tobacco products and paraphernalia, which includes but shall not be limited to cigarettes, igars, pipes, Kreteks (clove cigarettes), hookahs, and Shisha, are used and/or consumed on the premises." (27-163) | 27-162 to 27-183 | "The fee for a certificate of use, both for initial applications for a certificate of use and for renewals of a certificate of use shall be five hundred dollars (\$500.00) every two (2) years." (27-169) | "Certificates of use shall be valid for a period of two (2) years from the date of issuance, unless the certificate is suspended or revoked pursuant to this article. The date of expiration shall be printed on the certificate." (27-170) | "An application for a certificate of use shall be made by the owner or the proprietor to the division of code enforcement" (27-165) | "Criminal penalties: Any owner or proprietor who having been served with a notice or order to correct or remove any violations of this chapter who fails to comply with such notice or order within the time period fixed by the director of code enforcement shall be guilty of an offense and upon conviction shall be punishable by a fine of not less than fifty dollars (\$5,000) nor more than one hundred fifty dollars (\$150.00) or imprisonment for not more than fifteen (15) days or both for each offense." (27-182) | "Certificates of use and conditional certificates of use shall be conspicuously posted in a window or door so that they are visible from the closest public right-of-way." (27-167) | |

EXHIBIT #16

FORMER CITY HALL COMMONS ENTRANCE





The Former City Hall Commons, located at 201 E. Washington Street. Front Entrance.

For nearly ten years the public has visited City Hall Commons for licenses and permits.

Following the relocation to One Park Place, the doors were locked, and temporary signage was installed to let visitors know the offices have moved. To the left of the doors, however, an old display still exists prominently displaying the offices housed at City Hall Commons, led by the Central Permit Office.



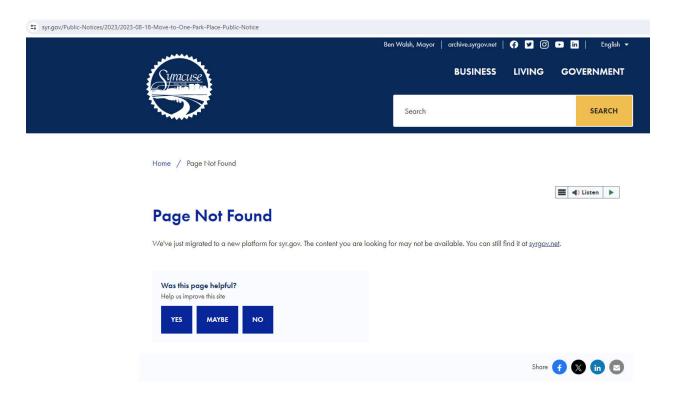




Signage indicates offices have been relocated, effective August 29, 2023, but not updated since then. Phone numbers and email addresses are available for some of the relocated offices.

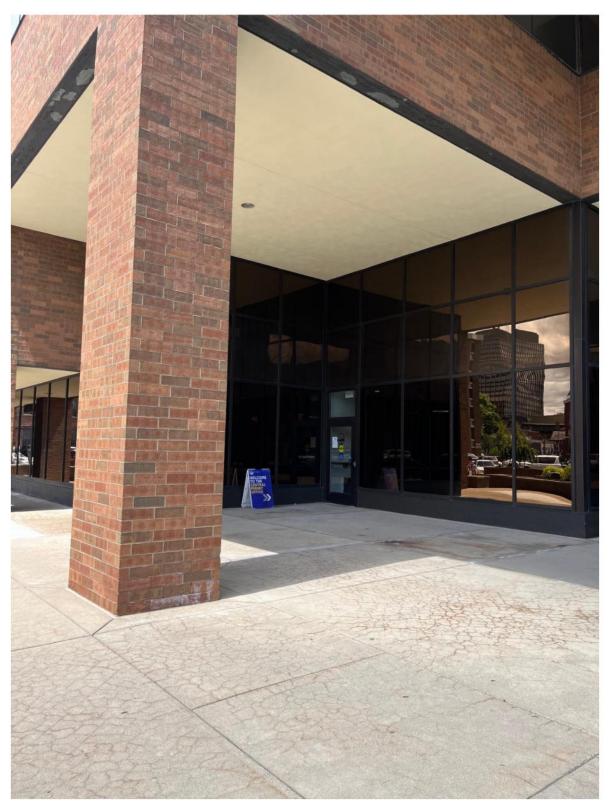
"For more information, visit <u>syr.gov/moving-2023</u>" a sign instructs, and a QR code tells visitors to "Scan for more information."

Both links redirect to https://www.syr.gov/Public-Notices/2023/2023-08-18-Move-to-One-Park-Place-Public-Notice where users are met with a "Page Not Found" notification.



The page above is displayed when you follow the QR code or type syr.gov/moving-2023 into a web browser.

NEW CENTRAL PERMIT OFFICE ENTRANCE



The New Central Permit Office, located at One Park Place, 300 S. State Street. Front Entrance.

Search

BUSINESS

GOVERNMENT

SEARCH



LIVING

Home / Business / Licenses, Approvals, and Fees

Licenses, Approvals, and Fees



EXHIBIT #18

Applications to our office usually take about 5 business days to process and approve. Fill out the form and email it to us or drop it at our office. Contact us: 315-448-8474

License to Sell Goods on the Street (Peddler's License)

If you are a vendor who wants to sell your merchandise on the sidewalk, you'll need to get a peddler's license.





Search SEARCH

EXHIBIT #19

Business / Business Resources / Business Forms, Applications, and Documents

Business Forms, Applications, and Documents



Sidewalk Dining and Retail **Business Application**

If you're a retail business or restaurant and plan to put tables and chairs in front of your storefront to sell or display goods, or to sell food and/or alcohol, you'll need to fill out 3 forms

Non-Commercial Loading Zone Permit

If you have a business and own a car that doesn't have commercial license plates, you can apply for a non-commercial loading zone permit that allows you to park in loading zones.

Outdoor Winter Dining Guidelines

If you're a restaurant and plan to have outdoor dining this winter, you'll first need to review our requirements for things like cafe seating, parklets, vestibules, and patio heaters.

Camoin Study -Neighborhood Corridor Analysis

These documents have been developed as part of the City's Commercial Corridor Study, which began in April 2019. This document builds off the City-Wide Economic Base from Summer 2019. The final piece of the Commercial Corridor Study will include an Action Plan that determines key roles for managing and progressing short and long-term goals.





Home (https://www.syr.gov/Home) / Central Permit Office

Central Permit Office



The Central Permit Office helps residents and businesses request permission for different types of projects in the city. For example, the Central Permit Office helps:

- Residents get permits for home improvement projects, like putting up a fence or building an addition.
- Businesses get licenses and improve and inspect their properties.

Note: It can take time for us to process your permit application, depending on what you need. We thank you in advance for your patience.

Self-Services

Before you build or begin your next project, learn where you can locate your business or residence in the City of Syracuse by using our Zoning & Permitting Discovery Tool

(https://app.oncamino.com/syracuseny/dashboard/submissions/new?submission_type_id=9091).

Please be advised that this is a guide, not an application form.

Code Review Form
(https://us.openforms.co
m/Form/83eb324f13d5-46a7-97c8cae211ff3c34)

Fire Alarm Review Form (https://app.oncamino.c om/syracuseny/dashbo ard/submissions/new? submission_type_id=100 54)

Trade Permits
(https://app.oncamino.c
om/syracuseny)

Intake Meeting Project
Registration Form
(https://app.oncamino.c
om/syracuseny/dashbo
ard/submissions/new?
submission_type_id=126
73)

Tobacco Licensing
Application
(https://www.syr.gov/D
epartments/CentralPermit-Office/TobaccoRetail-License)

Pre-Develpment Meeting
Registration Form
(https://app.oncamino.c
om/syracuseny/dashbo
ard/submissions/new?
submission_type_id=106
22)

More Information

Parking for Persons with Severe Disabilities

Learn how to apply for, renew, or replace a parking permit or metered parking waiver for persons with severe disabilities.

(https://www.syr.gov/Departments/Central-Permit-Office/Parking-for-Disabled-Persons)

Vacant Property Registry

The goal of the Vacant Property Registry (VPR) is to reduce blight in neighborhoods and to motivate owners to act on their properties.

(https://www.syr.gov/Departments/Central-Permit-Office/Vacant-Property-Registry)

List of Licensed Sprinkler Contractors

View a list of sprinkler contractors licensed by the City.

(https://www.syr.gov/Departments/Central-Permit-Office/Licensed-Sprinkler-Contractors)

Permits, Licenses, and Periodic Inspections

View various permit documents and resources.

(https://www.syr.gov/Departments/Central-Permit-Office/Permits-Licenses-and-Periodic-Inspections)

Contact Us

Phone

315-448-8600 (tel:3154488600)

Fax

315-448-8615

Email

permits@syr.gov (mailto:permits@syr.gov)

Location

One Park Place 300 South State Street Syracuse, NY 13202

View Map (https://maps.google.com?q=300 South State Street %20Syracuse, NY%2013202)

Hours

Sunday Closed

Monday 08:30 AM-04:30 PM

Tuesday 08:30 AM-04:30 PM

Wednesday 08:30 AM-04:30 PM

Thursday 08:30 AM-04:30 PM

Friday 08:30 AM-04:30 PM

Saturday Closed

Visitor Entrance and Parking

The Central Permit Office main entrance is located on the south side of the building, on East Onondaga Street. Parking is available for visitors at the One Park Place Parking Lot, located at 343 East Onondaga Street.

Mailing Address

City of Syracuse Central Permit Office One Park Place 300 South State Street, Suite 700 Syracuse, NY 13202

Department Head

Jake Dishaw

Deputy Commissioner of Code Enforcement and Zoning Administration

EXHIBIT #21



City of Syracuse's Online Application Portal

This is the online portal for the City Syracuse

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Home (https://www.syr.gov/Home) / City Auditor (https://www.syr.gov/Departments/Auditor-Office) / Archived Audits and Reports

Archived Audits and Reports

On this page, you can find audits and reports released by prior City Auditors.



Alexander Marion, MPA

City Auditor

2023

Parking Violations Bureau Performance Audit (PDF, 8MB) (/files/sharedassets/public/v/2/2-departments/audit/documents/2023-audits/2023.06.02-parking-violations-bureau-performance-audit.pdf)

(https://www.syr.gov/files/sharedassets/public/v/1/2-departments/audit/documents/parking-violations-bureau-audit-final-with-administration-response-and-auditor-repsonse-v2-revised.pdf)June 2, 2023

This Audit examines internal controls, compliance with statutory requirements, record-keeping efficiency, internal and external communications and productivity of collections related to the Parking Violations Bureau.

2022

Cash and Investments Audit October 2020 to June 2021 (PDF, 776KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2022-audits/2022.01.07-cash-and-investments-audit-october-2020-to-june-2021.pdf)

January 7, 2022

An audit of the City of Syracuse's cash and cash equivalents activity for the period of October 1, 2020 through June 30, 2021.

Mobile Communication Devices Audit (PDF, 5MB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2022-audits/2022.02.16-mobile-communication-devices-audit.pdf)

February 16, 2022

This audit of the City of Syracuse's policies, practices and procedures related to the use of mobile communication equipment and services; which included but was not limited to, cellular phones, wireless internet air cards, and global positioning system (GPS) tracking devices. This review included an extensive analysis of all of the mobile equipment and service fees charged to the City of Syracuse, and posted against the City's Operating Funds.

City Sales Tax Revenues and Harrison Garage Arrears (PDF, 3MB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2022-audits/2022.02.23-city-sales-tax-revenue-and-harrison-garage-arrears.pdf)

February 23, 2022

An audit of the financial operations related to parking garages Sales Tax revenue and a review of the current compliance status of the lease agreement of the Harrison Street Parking Garage, with the Marriott Syracuse Downtown.

City Parking Garages Audit (PDF, 20MB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2022-audits/2022.06.30-city-parking-garages-audit.pdf)

June 30, 2022

An audit of operations related to Fayette Street parking garage, Madison-Irving parking garage, Washington Street parking garage, Center Street Armory parking garage, and AXA/EQUITABLE parking garage.

Parks and Recreation Permit Fees Audit (PDF, 2MB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2022-audits/2022.08.16-department-of-parks-recreation-youth-programs-permit-fees.pdf)

August 16, 2022

An audit of the procedures and practices employed in the issuing of permits for the facilities operated by the Department of Parks, Recreation & Youth Programs, including the record of monies in permit fees collected over the last three and a half calendar years.

Procurement Performance Audit (PDF, 18MB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2022-audits/2022.10.25-procurement-performance-audit.pdf)

October 25, 2022

An audit of the City of Syracuse Department of Finance Procurement policies, procedures, and internal controls.

Cash and Investments Audit July 2021 to June 2022 (PDF, 254KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2022-audits/2022.12.30-cash-and-investments-audit-july-2021-to-june-2022.pdf)

December 30, 2022

An audit of the City of Syracuse's cash and cash equivalents activity for the period of July 1, 2021, through June 30, 2022.

2021

Division of Contract Compliance and Minority Affairs Audit.pdf (PDF, 2MB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2021-audits/2021.03.04-division-of-contract-compliance-and-minority-affairs-audit.pdf)

March 4, 2021

An analysis of the program from its inception and authorization by the Common Council of the City of Syracuse in 1993.

Syracuse Police Department COVID-19 Procedures (PDF, 7MB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2021-audits/2021.04.22-syracuse-police-department-covid-19-procedures.pdf)

April 22, 2021

This report is in response a request from the Common Council to investigate the procedures the Syracuse Police Department implemented in regards to the Coronavirus pandemic during early-2020.

2020

Ban The Box (PDF, 1MB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2020-audits/2020.05.26-ban-the-box.pdf)

May 26, 2020

The report presents the results of the review of the City of Syracuse and its Contractors compliance with the "Ban the Box" Ordinance during the calendar years 2019 and 2020 to-date.

 $\underline{Purchase\ Card\ Audit\ ^{[PDF,\ 18MB]}\ (/files/shared assets/public/v/1/2-departments/audit/documents/2020-audits/2020.05.26-purchase-card-audit.pdf)}$

May 26, 2020

An audit of the City of Syracuse Purchase Card Program covering the period July 1, 2016 to November 30, 2019.

Cash and Investments Audit October to December 2019 (PDF, 669KB) [/files/sharedassets/public/v/1/2-departments/audit/documents/2020-audits/2020.06.28-cash-and-investments-q4-2019.pdf)

June 28, 2020

An audit of the City of Syracuse's cash and cash equivalents activity for the period of October 1, 2019 through December 31, 2019.

Cash and Investments Audit July to September 2019. [PDF, 571KB] [/files/sharedassets/public/v/1/2-departments/audit/documents/2020-audits/2020.06.29-cash-and-investments-q3-2019.pdf)

June 29, 2020

An audit of the City of Syracuse's cash and cash equivalents activity for the period of July 1, 2019 through September 30, 2019.

Cash and Investments Audit January to March 2020 [PDF, 572KB] (/files/sharedassets/public/v/1/2-departments/audit/documents/2020-audits/2020.08.18-cash-and-investments-q1-2020.pdf)

| An audit of the City of Syracuse's cash and cash equivalents activity for the period of January 1, 2020 through March 30, 2020. |
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2019

We're updating our records. Check back soon.

2018

We're updating our records. Check back soon.

2017

Cash and Investments Audit July 2015 to June 2016 (PDF, 294KB) (/files/sharedassets/public/v/2/2-departments/audit/documents/2017-audits/2017.08.25-cash-and-investments-audit-july-2015-june-2016.pdf)

August 25, 2017

An audit of the City of Syracuse's cash and cash equivalents activities for the period of July, 2015 through June, 2016

Parking Violations Bureau (PDF, 125KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2017-audits/2017.12.22-parking-violations-bureau-audit.pdf)

December 22, 2017

An audit on the City of Syracuse Parking Violations Bureau for the fiscal periods beginning in 2013 and ending in 2016.

2016

Ban The Box Report (PDF, 1/MB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2016-audits/2016.01.05-ban-the-box-report.pdf)

lune 5, 2016

This reviews the City's implementation of the Ban the Box ordinance since its effective date of March 25, 2015.

Syracuse Tax Trust Program (PDF, 304KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2016-audits/2016.04.26-syracuse-tax-trust-program.pdf)

April 26, 2016

An analysis of the City's tax trust data for the year 2015, to document the impact of the Greater Syracuse Land Bank program on the volume of tax trusts being opened, the default rate of these newly opened tax trusts, and the procedures followed by the Finance Department in cases of default.

Syracuse Police Department Overtime (PDF, 197KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2016-audits/2016.11.17-syracuse-police-department-overtime.pdf)

SPD Overtime Attachments (PDF, 480KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2016-audits/2016.11.17-syracuse-police-department-overtime-attachments.pdf)

November 17, 2016

A high level review of the overtime program was conducted to document \$13 million in overtime costs, identify the drivers of overtime costs, review current SPD administrative procedures for managing overtime costs, and make recommendations for cost savings and efficiency improvements.

Living Wage Compliance Report (PDF, 119KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2016-audits/2016.12.27-living-wage-compliance-report.pdf)

December 27, 2016

This report represents the results of our examination into the City of Syracuse Living Wage Ordinance, and specifically those companies who are required to comply with the Living Wage Ordinance as adopted by the City of Syracuse Common Council and amended in December 2012.

2015

Department of Public Works Asphalt Plant (PDF, 237KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2015-audits/2015.04.07-department-of-public-works-asphalt-plant-audit.pdf)

April 7, 2015

A formal review of the City's Asphalt Plant with a specific focus on operations and costs, including reviewing asphalt production records, financial budget records of reconstruction projects, contracts for venders, and interviews.

Living Wage Compliance Report (PDF, 120KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2015-audits/2015.07.25-living-wage-compliance-report.pdf)

May 20, 2015; Updated July 25, 2015

This report represents the results of an examination into the City of Syracuse Living Wage Ordinance and specifically those companies who are required to comply with the Living Wage Ordinance as adopted by the City of Syracuse.

Cash and Investments Audit February to May 2015 (PDF, 95KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2015-audits/2015.08.22-cashand-investments-feb-2015-to-may-2015.pdf)

August 22, 2015

The purpose of this audit is to review cash and investment activity as set forth in the City of Syracuse Investment Policy and the City of Syracuse Charter, as adopted by the Common Council.

Greater Syracuse Property Development Corporation (The Land Bank) (PDF, 4MB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2015-audits/2015.08.27-greater-syracuse-property-development-corporation-the-land-bank.pdf)

August 27, 2015

loint audit with Onondaga County Comptroller reviewing the stability, management, and oversight of the Syracuse Land Bank.

2014

Iravel and Training Audit (PDF, 86KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2014-audits/2014.03.03-travel-and-training-audit.pdf)

Administration Response (PDF, 31KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2014-audits/2014.03.03-travel-and-training-audit-management-response.pdf)

March 3, 2014

This report represents the results of an examination of the City of Syracuse Budget & Management Department on travel expenses for the fiscal year ending June 2013.

City Abstract Audit with Onondaga County Comptroller (PDF, 3MB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2014-audits/2014.04.11-city-abstract-audit-with-onondaga-county-comptroller.pdf)

April 11, 2014

An audit to examine the various charges on the City Abstract and the methodology to calculate those charges.

Cash and Investments Audit January to March 2013 (PDF, 98K8) [/files/sharedassets/public/v/1/2-departments/audit/documents/2014-audits/2014.06.26-cash-and-investments-january-march-2013.pdf)

June 26, 2014

The purpose of this audit is to review cash and investment activity as set forth in the City of Syracuse Investment Policy and the City of Syracuse Charter, as adopted by the Common Council.

Living Wage Compliance Report (PDF, 204KB)_(/files/sharedassets/public/v/1/2-departments/audit/documents/2014-audits/2014.12.02-living-wage-compliance-report.pdf)

December 2, 2014

This report represents the results of an examination into the City of Syracuse Living Wage Ordinance and specifically those companies which are required to comply with the Living Wage Ordinance as adopted by the City of Syracuse Common Council and amended in December 2012.

Living Wage Compliance Report (PDF, 93KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2013-audits/2013.03.21-living-wage-compliance-report.pdf)

March 21, 2013

This report represents the results of our examination of those companies who are required to comply with the Living Wage Ordinance as adopted by the City of Syracuse Common Council as amended on December 17, 2012.

Newspaper Publication Costs Report (PDF, 82KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2013-audits/2013.04.15-newspaper-publication-costs-report.pdf)

Newspaper Publication Costs Report Additional Information (PDF, 257KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2013-audits/2013.04.15-newspaper-publication-costs-report 2.pdf)

April 15, 2013

A report to illustrate the high costs of providing public notifications and offer alternatives to reduce some of the financial strains on the City of Syracuse and its taxpayers

Clinton Square Ice Skating Rink Audit (PDF, 106KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2013-audits/2013.06.19-clinton-square-ice-skating-rink-audit.pdf)

June 19, 2013

A review of 2012-13 Clinton Square rink operation with the following objectives: 1. To review cash controls to determine if cash collected for skating fees, skate rentals and concessions are properly accounted for and safeguarded 2. To determine if the change in management structure produced additional income for the City as originally projected.

Living Wage Compliance Report (PDF, 91KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2013-audits/2013.11.15-living-wage-compliance-report.pdf)

November 15, 2013

This report represents the results of our examination into the City of Syracuse Living Wage Ordinance and specifically those companies who are required to comply with the Living Wage Ordinance as adopted by the City of Syracuse Common Council as amended on December 17, 2012.

2012

Living Wage Compliance Report (PDF, 91KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2012-audits/2012.06.27-living-wage-compliance-report.pdf)

June 27, 2012

An examination into the City of Syracuse Living Wage Ordinance and specifically those companies who are required to comply with the Living Wage Ordinance as adopted by the City of Syracuse.

Syracuse Police Department Take Home Vehicle Audit (PDF, 117KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2012-audits/2012.08.10-syracuse-police-department-take-home-vehicle-audit.pdf)

August 10, 2012

A performance audit regarding the personal use of City of Syracuse Police Department (SPD) vehicles, with a specific focus on take-home cars.

Cash Audit of Sunnycrest and Burnet Park Golf Courses (PDF, 186KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2012-audits/2012.09.21-cash-audit-of-sunnycrest-and-burnet-park-golf-courses.pdf)

September 21, 2012

This report summarizes the findings of an unannounced cash audit of the Burnet Park Golf Course conducted on August 23, 2012, and Sunnycrest Golf Course on August 24, 2012.

City of Syracuse Health Benefits Report [PDF, 859KB] [/files/sharedassets/public/v/1/2-departments/audit/documents/2012-audits/2012.11.15-city-of-syracuse-health-benefits-report.pdf)

November 15, 2012

A report to be a resource to stakeholders seeking to maintain a quality program for all beneficiaries that is also affordable to City taxpayers. This report includes recommendations to strengthen the financial viability of this program.

Police and Fire Overtime Mid Year Cost Analysis (PDF, 142KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2011-audits/2011.01.04-police-and-fire-overtime-mid-year-cost-analysis.pdf)

January 4, 2011

In January of 2010, The Office of the City Auditor issued a report on city wide overtime that highlighted various issues including how overtime for government employees has grown at the extremely high rate of 87% over the last nine years. The report stressed that financially difficult times require conscious decisions to more effectively manage overtime expenses and concluded that there is a lack of consistently enforced policies for overtime authorization. As a result of the previous report on overtime, the City Auditor recommended the following: 1. The Administration should pay close attention to the authorization process of overtime. 2. Non-essential overtime should be kept to a minimum. 3. Priority tracking should be given to select overtime. In keeping with the recommendation that overtime should be consistently monitored, the City Auditor will continue to monitor and report on citywide overtime as deemed appropriate. In September, 2010, the City Auditor opened a midyear follow-up report focusing on the previous overtime recommendations and use of overtime by City clerical employees. Upon completion of that audit, the City Auditor opened the following report focusing specifically on the Syracuse Police and Fire Department(s) overtime statistics and compared it to those of Rochester, New York police and fire departments.

License Function Review April to June 2010 (PDF, 83KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2011-audits/2011.04.11-license-function-review-april-to-june-2010.pdf)

April 11, 2011

An examination of the Department of Finance's receipts and disbursements relating to licenses for the period April 1, 2010 through June 30, 2010.

License Function Review January to March 2010 [PDF, 82KB] (/files/sharedassets/public/v/1/2-departments/audit/documents/2011-audits/2011.07.05-license-function-review-july-to-september-2010.pdf)

July 5, 2011

An examination of the Department of Finance's receipts and disbursements relating to licenses for the period July 1, 2010 through September 30, 2010.

Cash and Investments Audit October to December 2009 (PDF, 153KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2011-audits/2011.12.31-cash-investments-october-to-december-2009.pdf)

Unknown Date, 2011

An examination into the City of Syracuse's cash and cash equivalents activity for the period October 1, 2009, through December 31, 2009.

Cash and Investments Audit January to March 2010 (PDF, 355KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2011-audits/2011.12.31-cash-investments-january-to-march-2010.pdf)

Unknown Date, 2011

An audit of the City of Syracuse's cash and cash equivalents activity for the period January 1, 2010 to March 31, 2010.

2010

Cash and Investments Audit October to December 2008 (PDF, 45KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2010-audits/2010.01.22-cash-investments-audit-october-to-december-2008.pdf)

January 22, 2010

An audit of the City of Syracuse's cash and cash equivalents activity for the period October 1, 2008, through December 31, 2008.

Cash and Investments Audit January to March 2009 (PDF, 41KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2010-audits/2010.02.09-cash-investments-audit-january-to-march-2009.pdf)

February 9, 2010

An audit of the City of Syracuse's cash and cash equivalents activity for the period January 1, 2009, through March 31, 2009.

License Function Review July 2008 to June 2009 [PDF, 72K8] [/files/sharedassets/public/v/1/2-departments/audit/documents/2010-audits/2010.03.12-license-function-review-july-2008-to-june-2009.pdf]

Additional Information: Regulated Fees vs. Offered Licenses (PDF, 21K8) (/files/sharedassets/public/v/1/2-departments/audit/documents/2010-audits/2010.03.12-license-function-review-july-2008-to-june-2009 2.pdf)

 $\underline{\text{Additional Information: Fee Listing}} \ \underline{|\text{PDF}, 1\text{AKB}|} \ \underline{|\text{AdBitional Information: Fee Listing}} \ \underline{|\text{Pof}, 1\text{AKB}|} \ \underline{|\text{AdBitional Information: Fee Listing}} \ \underline{|\text{Additional Information: Fee Listing Information: Fee Listin$

March 12, 2010

An examination of the Department of Finance's receipts and disbursements relating to licenses for the period July 1, 2008 through June 30, 2009.

Cash and Investments Audit April to June 2009 (PDF, 35KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2010-audits/2010.03.16-cash-investments-audit-april-to-june-2009.pdf)

An audit of the City of Syracuse's cash and cash equivalents activity for the period April 1, 2009, through June 30, 2009.

License Function Review July 2009 to March 2010 (PDF, 67KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2010-audits/2010.05.19-license-function-review-july-2009-to-march-2010.pdf)

Additional Information: Regulated Fees vs. Offered Licenses (PDF, 21K8) (/files/sharedassets/public/v/1/2-departments/audit/documents/2010-audits/2010.05.19-license-function-review-july-2009-to-march-2010 2.pdf)

Additional Information: Fee Listing (PDF, 13KB) (files/sharedassets/public/v/1/2-departments/audit/documents/2010-audits/2010.05.19-license-function-review-july-2009-to-march-2010_3.pdf)

May 19, 2010

An examination of the Department of Finance's receipts and disbursements relating to licenses for the period July 1, 2009 through March 31, 2010.

Cash and Investments Audit July to September 2009 (PDF, 33KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2010-audits/2010.07.07-cash-investments-audit-july-to-september-2009.pdf)

July 7, 2010

. An audit of the City of Syracuse's cash and cash equivalents activity for the period July 1, 2009, through September 30, 2009

Overtime Pay Cost Analysis Mid Year Review (PDF, 56KB) [/files/sharedassets/public/v/1/2-departments/audit/documents/2010-audits/2010.09.28-overtime-pay-cost-analysis-mid-year-review.pdf)

September 28, 2010

A report on city wide overtime that highlighted various issues including how overtime to government employees had grown at the extremely high rate of 87% over the last nine years. The report stressed that financially difficult times require conscious decisions to more effectively manage the authorization of overtime and it concluded that there is a lack of consistently enforced policies for overtime authorization.

Report on the Chamber of Commerce Technology Garden Utilities Subsidy. (PDF, 317KB) _[/files/sharedassets/public/v/1/2-departments/audit/documents/2010-audits/2010.11.29-report-on-the-chamber-of-commerce-technology-garden-utilities-subsidy.pdf)

November 29, 2010

An audit to determine the circumstances around the original lease between the City of Syracuse and the Greater Syracuse Chamber of Commerce for the property at 235 Harrison Street, and to determine what practices, policies, and procedures existed during the time the City was paying for the electric utility for the building which was not reimbursed.

Investment Policy Review for FY Ending June 2010 [PDF, 130KB] (/files/sharedassets/public/v/1/2-departments/audit/documents/2010-audits/2010.12.07-investment-policy-review-for-fy-ending-june-2010.pdf)

December *7,* 2010

This report represents the results of our examination of the City of Syracuse Investment Policy for the fiscal year ended June 30, 2010.

2009

Mobile Communications Audit (PDF, 123KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2009-audits/2009.04.20-mobile-communications-audit.pdf)

April 20, 2009

An audit of the City of Syracuse's policies, practices and procedures related to the use of mobile communication equipment and services, which included but was not limited to: cellular phones, BlackBerrys, personal digital assistants (PDA's), wireless internet air cards, and global positioning system (GPS) tracking devices. This review included an extensive analysis of all of the mobile equipment and service fees charged to the City of Syracuse, and posted against the City's General Fund and/or its related enterprise funds for the Aviation, Sewer, and Water Departments. The audit scope was later expanded to include mobile expenditures reimbursements paid through the Community Development Block Grant (CDBG) program for both Community Development employees and for recipient agencies.

Cash and Investments Audit April to June 2008 (PDF, 42KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2009-audits/2009.09.02-cash-investments-audit-april-to-june-2008.pdf)

September 2, 2009

An audit of the City of Syracuse's cash and cash eauivalents activity for the period April 1, 2008, through June 30, 2008

License Function Review January to June 2007 [PDF, 98KB] (/files/sharedassets/public/v/1/2-departments/audit/documents/2009-audits/2009.11.06-license-function-review-january-to-june-2007.pdf)

November 6, 2009

An examination of the Department of Finance's receipts and disbursements relating to licenses for the period January 1, 2007 through June 30, 2007.

Cash and Investments Audit July to September 2008 (PDF, 48KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2009-audits/2009.12.04-cash-investments-audit-july-to-september-2008.pdf)

December 4, 2009

An audit of the City of Syracuse's cash and cash equivalents activity for the period July 1, 2008, through September 30, 2008.

License Function Review July 2007 to June 2008 (PDF, 95KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2009-audits/2009.12.30-license-function-review-july-2007-to-june-2008.pdf)

December 30, 2009

An examination of the Department of Finance's receipts and disbursements relating to licenses for the period July 1, 2007 through June 30, 2008.

Overtime Pay Cost Analysis (PDF, 102KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2009-audits/2009.12.30-overtime-pay-cost-analysis.pdf)

December 30, 2009

A review of the City wages and salaries with a specific focus on reviewing overtime. This included reviewing the policy being used for the current approval and authorization procedures for over time assignments, the monitoring and use of overtime by management and/or department heads.

2008

Examination of Expenditures FY Ending June 2006 (PDF, 69KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2008-audits/2008.02.25-examination-of-expenditures-fy-ending-june-2006.pdf)

February 25, 2008

An examination into the expenditure components of the annual budget for the City of Syracuse, New York, for the fiscal year ending June 30, 2006.

Cash and Investments Audit January to March 2007 (PDF, 44KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2008-audits/2008.04.04-cash-investments-audit-january-to-march-2007.pdf)

April 4, 2008

An audit of the City of Syracuse's cash and cash equivalents activity for the period January 1, 2007 through March 31, 2007.

Cable Franchise Report (PDF, 292KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2008-audits/2008.05.12-cable-franchise-report.pdf)

May 12, 2008

A formal review of the City of Syracuse's Franchise Agreement with Time Warner Cable Company (referred to as the Franchisee in the agreement). This included a review of the contract between the City of Syracuse and the cable franchisee, a review of the general operation of the system by the cable company, and obtaining first-hand familiarity with the public access facilities/studio located within the limits of the City of Syracuse.

Cash and Investments Audit July to September 2007 (PDF, 42KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2008-audits/2008.05.26-cash-investments-audit-july-to-september-2007.pdf)

May 26, 2008

An audit of the City of Syracuse's cash and cash equivalents activity for the period July 1, 2007 through September 30, 2007.

Cash and Investments Audit April to June 2007 [PDF, 42KB] (/files/sharedassets/public/v/1/2-departments/audit/documents/2008-audits/2008.06.13-cash-investments-audit-apirl-to-june-2007.pdf)

June 13, 2008

An audit of the City of Syracuse's cash and cash equivalents activity for the period April 1, 2007 through June 30, 2007.

An Economic Model: No Risk or Cost? - An Evaluation of Destiny USA (PDF, 70KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2008-audits/2008.06.16-an-economic-model-no-cost-or-risk-an-evaluation-of-destiny-usa.pdf)

lune 16, 2008

The Carousel Center/Lakefront Development and later the "Destiny USA" initiatives were proposed as a model for addressing critical public issues in urban centers with non-traditional resources. This report traces the creation of the Destiny USA Development Model starting more than two decades ago. The operation of the Model is tested against the expectations of the community leaders and proponents who advocated for this development, its format, tax structure, and expected impact.

Investment Policy Review FY Ending June 2008 [PDF, 55KB] (/files/sharedassets/public/v/1/2-departments/audit/documents/2008-audits/2008.10.29-investment-policy-review-fy-ending-june-2008.pdf)

October 29, 2008

This report represents the results of the examination of the City of Syracuse Investment Policy for the fiscal year ended June 30, 2008.

Examination of Expenditures FY Ending June 2007 (PDF, 87KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2008-audits/2008.11.21-examination-of-expenditures-fy-ending-june-2007.pdf)

November 21, 2008

An examination into the expenditure components of the annual budget for the City of Syracuse, New York, for the fiscal year ending June 30, 2007.

2007

Examination of Expenditures FY Ending June 30, 2005 (PDF, 534KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2007-audits/2007.01.03-examination-of-expenditures-fy-ending-june-30-2005.pdf)

January 3, 2007

An examination into the expenditure components of the annual budget for the City of Syracuse, New York, for the fiscal year ending June 30, 2005.

Audit of the Department of Public Works (PDF, 596KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2007-audits/2007.02.21-audit-of-the-department-of-public-works.pdf)

February 21, 2007

An unannounced audit of the Department of Public Works on January 3, 2007.

License Function Review FY 05-06 (PDF, 93KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2007-audits/2007.05.18-license-function-review-fy-05-06.pdf)

May 18, 2007

An examination of the Department of Finance's receipts and disbursements relating to licenses for the period July 1, 2005 through June 30, 2006.

License Function Review July to September 2006 (PDF, 80KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2007-audits/2007.05.23-license-function-review-july-to-september-2006.pdf)

May 23, 2007

An examination of the Department of Finance's receipts and disbursements relating to licenses for the period July 1, 2006 through September 31, 2006.

License Function Review October to December 2006 [PDF, 84KB] (/files/sharedassets/public/v/1/2-departments/audit/documents/2007-audits/2007.07.06-license-function-review-october-to-december-2006.pdf)

July 6, 2007

An examination of the Department of Finance's receipts and disbursements relating to licenses for the period October 1, 2006 through December 31, 2006.

Investment Policy Review FY Ending June 2007 [PDF, 55KB] (/files/sharedassets/public/v/1/2-departments/audit/documents/2007-audits/2007.10.21-investment-policy-review-for-fy-ending-june-2007.pdf)

October 21, 2007

An examination of the City of Syracuse Investment Policy for the fiscal year ended June 30, 2007.

 $\underline{\text{Take Home Vehicle Audit}} \underbrace{\text{(}\text{\tiny PDF, 90KB)}} \underbrace{\text{(}\text{/files/sharedassets/public/v/1/2-departments/audit/documents/2007-audits/2007.11.15-take-home-vehicle-audit.pdf)}$

November 15, 2007

A formal review of the City of Syracuse Office of Fleet Operations. This review included policy being used for the current approval and the authorization process for monitoring and usage of vehicles identified as take home vehicles, as well as general procedures for all vehicles used for various city operations and purposes. The review covered the period from November, 2005 to October, 2006.

Tomorrow's Neighborhoods Today Audit (PDF, 107KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2007-audits/2007.12.17-tomorrows-neighborhoods-today-audit.pdf)

December 17, 2007

An examination into the Tomorrow's Neighborhoods Today (TNT) program for the period November 1, 2004 through August 31, 2007.

2006

Division of Code Enforcement Audit [PDF, 47KB] (/files/sharedassets/public/v/1/2-departments/audit/documents/2006-audits/2006.02.08-division-of-code-enforcement-audit.pdf)

February 8, 2006

An audit of the Division of Code Enforcement.

Cash and Investments Audit Q1 2005 (PDF, 30KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2006-audits/2006.02.10-cash-and-investments-q1-2005.pdf)

February 10, 2006

The purpose of this audit is to review cash and investment activity as set forth in the City of Syracuse Investment Policy and the City of Syracuse Charter, as adopted by the Common Council.

Cash and Investments Audit Q2 2005 (PDF, 77KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2006-audits/2006.04.16-cash-and-investments-q2-2005.pdf)

April 16, 2006

The purpose of this audit is to review cash and investment activity as set forth in the City of Syracuse Investment Policy and the City of Syracuse Charter, as adopted by the Common Council.

Ida Benderson Senior Center Audit (PDF, 31KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2006-audits/2006.05.26-ida-benderson-senior-center-audit.pdf)

May 26, 2006

A performance audit of the Ida Benderson Senior Citizen Center (Ida Benderson Center) was conducted.

License Function Review Q2 2005 [PDF, 55KB] (/files/sharedassets/public/v/1/2-departments/audit/documents/2006-audits/2006.05.26-license-function-reviewq2-2005.pdf)

May 26, 2006

An examination of the Department of Finance's receipts and disbursements relating to licenses for the period April 1, 2005, through June 30, 2005.

Report on the Operation of Parking Garages Under the Supervision of Public Works (PDF, 63KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2006-audits/2006.07.24-report-on-the-operation-of-parking-garages-under-the-supervision-of-public-works.pdf)

June 24, 2006

An examination of parking garage supervision and management practices.

Bureau of Treasury Licenses Audit (PDF, 145KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2006-audits/2006.09.13-bureau-of-treasury-icenses-audit.pdf)

September 13, 2006

An examination of the Department of Finance's receipts and disbursements relating to licenses for the period July 1, 2005 through September 30, 2005.

License Function Review Q4 2005 [PDF, 76KB] (/files/sharedassets/public/v/1/2-departments/audit/documents/2006-audits/2006.10.03-license-function-review-q4-2005.pdf)

October 3, 2006

An examination of the Department of Finance's receipts and disbursements relating to licenses for the period October 1, 2005 through December 31, 2005.

Living Wage Ordinance Implementation (PDF, 52KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2006-audits/2006.10.03-living-wage-ordinance-implementation.pdf)

October 3, 2006

The report presents the results of the inquiry into the efforts of the City of Syracuse to adopt and enact Living Wage Legislation for the purposes of promoting productivity and workplace stability, increasing consumer income, decreasing poverty, invigorating the central New York community, and reduce the need for taxpayer-funded social service programs.

Analytical Examination of Expenditures (PDF, 414KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2006-audits/2006.12.27-analytical-examination-of-expenditures.pdf)

December 27, 2006

An examination into the expenditure components of the annual budget for the City of Syracuse, New York, for the fiscal year ending June 30, 2004.

2005

Regional Training Facility Program (PDF, 30KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2005-audits/2005.01.28-regional-training-facility-program-audit.pdf)

January 28, 2005

A financial examination into the Regional Training Facility Program for the year ended June 30, 2004.

Receipts and Disbursements Relating to Licenses Q3 2004 (PDF, 18KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2005-audits/2005.04.12-icenses-audit-q3-2004.pdf)

April 12, 2005

An examination of the Department of Finance's receipts and disbursements relating to licenses for the period July 1, 2004 through September 30, 2004.

Cash Audit of the Department of Finance Parking Violations Bureau (PDF, 18KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2005-audits/2005.06.20-parking-violations-bureau.pdf)

June 20, 2005

An unannounced cash audit of the Parking Violations Bureau, Department of Finance conducted on June 13, 2005.

City of Syracuse Investment Policy Review (PDF, 17KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2005-audits/2005.06.30-investment-policy-audit.pdf)

June 30, 2005

An examination determining whether the Investment Policy of the City of Syracuse was written, reviewed, amended and adopted in final form in accordance with General Municipal Law (GML) Section 39 as set forth in guidance established by the Office of the New York State Comptroller (OSC).

City of Syracuse Investment Policy Review 2005 (PDF, 14KB) [/files/sharedassets/public/v/1/2-departments/audit/documents/2005-audits/2005.06.30-investment-policy-audit-2005.pdf)

June 30, 2005

This report represents the results of the examination of the City of Syracuse Investment Policy for the fiscal year ended June 30, 2005.

Receipts and Disbursements Relating to Licenses Q4 2004 (PDF, 27KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2005-audits/2005.07.08-licenses-audit-q4-2004.pdf)

July 8, 2005

A review of all all license related receipts and disbursements for the Bureau of Treasury, Department of Finance for the period October 1, 2004 through December 31, 2004.

Cash Audit of Clinton Square and Sunnycrest Ice Skating Rinks (PDF, 31KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2005-audits/2005.07.26-ice-skating-rinks-audit.pdf)

July 26, 2005

An unannounced cash audit of the Clinton Square and Sunnycrest ice skating rinks conducted on March 7, 2005.

Cash and Investments Audit July-December 2004 (PDF, 19KB) [/files/sharedassets/public/v/1/2-departments/audit/documents/2005-audits/2005.09.12-cash-and-investments-07.2004-to-12.2004.pdf)

September 12, 2005

An audit of the City of Syracuse's cash and cash equivalents activity for the period July 1, 2004 through December 31, 2004.

Receipts and Disbursements Relating to Licenses Q1 2005 (PDF, 21KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2005-audits/2005.10.23-licenses-audit-q1-2005.pdf)

October 23, 2005

An examination of the Department of Finance's receipts and disbursements relating to licenses for the period January 1, 2005 through March 31, 2005

Cash Audit of the Syracuse Police Department (PDF, 27KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2005-audits/2005.12.06-cash-audit-of-the-syracuse-police-department.pdf)

December 6, 2005

An unannounced cash audit of the Syracuse Police Department.

2004

Regional Fire Training Center (PDF, 9KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2004-audits/2004.01.23-regional-fire-training-center.pdf)

January 23, 2004

An audit of the schedule of Revenue, Expenditures, and Changes in Fund Balance of the Department of Fire's Regional Training Center of the City of Syracuse for the fiscal year ended June 30, 2003.

Sale of Syracuse Urban Renewal Agency (SURA) Property. [PDF, 33KB] (/files/sharedassets/public/v/2/2-departments/audit/documents/2004-audits/2004.03.24-sale-of-urban-renewal-agency-land.pdf)

March 24, 2004

A review of the transaction authorizing Common Council to sell the real property to the SURA resolutions related to disbursals of the proceeds to determine that proceeds from the Sale were used consistently with the respective authorizations.

Cash Audit of the Department of Parking Violations Bureau (PVB) (PDF, 51KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2004-audits/2004.04.29-cash-audit-parking-violations-bureau.pdf)

April 29, 2004

An audit of of the Department of Finance Parking Violations Bureau (PVB) as of April 26, 2004.

Receipts and Disbursements Relating to Licenses (PDF, 43KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2004-audits/2004.08.09-receipts-and-disbursements-07.2002-to-06.2003.pdf)

August 9, 2004

An examination of the Department of Finance's receipts and disbursements relating to licenses for the period July 1, 2002 through June 30, 2003.

Procedures of the Community Development Block Grant (CDBG) Program (PDF, 105KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2004-audits/2004.09.01-cdbg-audit.pdf)

September 1, 2004

A review on the current approval, monitoring and collection procedures for loans issued by the Community Development Block Grant program, Syracuse Economic Development Corporation, Syracuse Industrial Development Agency and Syracuse Urban Renewal Agency.

Receipts and Disbursements Relating to Licenses (PDF, 17KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2004-audits/2004.10.27-receipts-and-disbursements-07.2003-to-06.2004.pdf)

October 27, 2004

An examination of the Department of Finance's receipts and disbursements relating to licenses for the period July 1, 2003 through June 30, 2004.

Cash Audit of the Department of Finance Bureau of Treasury. (PDF, 40KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2004-audits/2004.12.20-cash-audit-bureau-of-treasury.pdf)

December 12, 2004

A cash audit of the Department of Finance Bureau of Treasury conducted on December 2, 2004.

Cash Audit of the Office of the City Clerk (PDF, 60KB) (/files/sharedassets/public/v/1/2-departments/audit/documents/2004-audits/2004.12.30-cash-audit-of-the-office-of-the-city-clerk.pdf)

December 30, 2004

A cash audit of the Office of the City Clerk conducted on September 13, 2004.



Philip J. LaTessa City Auditor

License Function Review

July 1, 2010 through September 30, 2010

Introduction:

As authorized by Article 5, Section 5-508 of the City of Syracuse Charter, an examination of the Department of Finance's receipts and disbursements relating to licenses for the period July 1, 2010 through September 30, 2010 was conducted. The Charter necessitates the review be conducted monthly, while the Office of the City Auditor has elected to report the results of the monthly reviews on a quarterly basis. The examination was administered in accordance with the *Government Auditing Standards*, issued by the Comptroller General of the United States and *Standards for the Professional Practice of Internal Auditing*, as circulated by the Institute of Internal Auditors.

These standards require that the audit is planned and performed to attain a reasonable foundation for the judgments and conclusions regarding the function under examination. This review also included evaluations of applicable internal controls and compliance with requirements of law and regulations when necessary to satisfy audit objectives.

The management of the City of Syracuse, New York, is responsible for establishing, maintaining and complying with the internal control structure and for compliance with applicable laws, regulations and contracts.

This report is intended solely for the information of the Mayor, the Common Council and the Department of Finance of the City of Syracuse, New York, yet it is understood to be a matter of public record and its distribution is not limited. Further information regarding this audit is available in the Office of the City Auditor upon request. At this time, the Office of the City Auditor would like to thank the Department of Finance personnel who assisted and cooperated with us during this audit.

Scope:

The scope of the audit entailed reviewing all license related receipts and disbursements for the Bureau of Treasury, Department of Finance, for the period of July 1, 2010 through September 30, 2010.

Objective:

The objectives of the audit were to determine with reasonable assurance that the financial data was accurate and properly recorded and that adequate operational and control procedures existed for the license function at the Bureau of Treasury, Department of Finance.

Methodology:

To reach this assurance, the Office of the City Auditor selected a predetermined number of days to test the Cash Reports for mathematical accuracy. The types of licenses granted on the cash reports and the fees collected were also verified to appropriate rules and regulations. The receipts were then traced to the corresponding general ledger accounts to ensure proper recording. All related vouchers during the audit period were reviewed for appropriateness and accuracy. All Monthly Activity Reports, which itemize the receipts by date and category, and the Daily Cash Reports were traced to the Monthly Balancing Sheets and General Ledger activity.

Auditor's Final Recommendation:

Please note that this recommendation has been placed in the unconventional location at the beginning of the audit due to the strong feeling of the Office of the City Auditor regarding the following recommendations.

The Office of the City Auditor strongly recommends that the administration and Corporation Council work together to review and update current licensing categories, fees, requirements, and verbiage. Recommended updates should be brought to the Common Council to seek all necessary legislative approvals.

In addition, as stated in previous licensing audits, the Office of the City Auditor strongly recommends that the administration consider consolidating all licensing and permit functions, such as special event and side walk permits; into one location for better transparency, tracking, cross referencing and compliance enforcement.

Lastly, it should be noted that better oversight of licensing is in order as previous audit reports have commented on an apparent lack of ownership over this function, as various recommendations have not been responded to. The Office of the City Auditor hopes that going forward the administration will work closer with the Office of the City Auditor and communicate its thoughts and suggestions on how it plans to address audit recommendations.

Conclusion:

The Office of the City Auditor uncovered errors that were repetitive in nature with previous audits of this department. Some of repetitive errors included the types of general licenses issued and corresponding fees collected, see Findings 1-5 below, as well as deficiencies in internal controls, completeness of general licensing functions and enforcement, as addressed in the Findings 6 and 7 below. However, the Office of the City Auditor was able to determine, with reasonable assurance, that the Bingo, Games of Chance, Certificate of Use and General License activities, for the audited period, were free of material misstatements.

As noted in this and prior audit reports, missing applications and incorrect licensing fees have been charged as a result of the wrong licenses being issued. Some applicants have been overcharged while others undercharged. Although the monetary amount of these errors may appear immaterial, the fact that inaccurate licensing fees are treated as being acceptable reflects a management style that is unacceptable and a disservice to the public.

License Function Audit Page 3

FINDINGS:

<u>Finding 1: Application and Fee Errors</u> (See Attachment)

As stated in the previous licensing audit, issued on April 4, 2011, when comparing authorized licenses per the City Charter, to the actual licenses posted by the Bureau of Treasury, the following inadequacies were discovered. Out of forty-six license applications offered, two did not have an application available on the City web site, resulting in 4% of all license applications that are considered missing and still in need of being recreated and posted to the City's web site.

In the previous audit, issued on April 4, 2011, when comparing the regulated license fees to the actual license fees listed on the individual license applications, the following inadequacies were discovered: three applications (or 7%) did not indicate any licensing fee amounts and three applications (or 7%) stated incorrect licensing fee amounts that will need to be corrected. As a result of the most recent application updates, the licensing department now averages a 13% error ratio regarding the accuracy of posted license application fees.

For the current period under audit, the City Auditor felt there was not a material risk of finding new application and/or fee errors compared to the last audit; issued on April 4, 2011. As a result the City Auditor decided no additional application testing was necessary at this time, but will be performed again within the next fiscal year.

Recommendation 1:

The Office of the City Auditor would like to commend the Licensing Bureau on its error ratio improvement, regarding licensing fees. However since this issue has been a reoccurring finding for so many years, the office of the City Auditor would like to see an error ratio of 5% or less in order to remove this finding.

Attached is an up to date list of available licenses, and corresponding fees, that are under the responsibility of the Department of Finance. The accuracy of the list was previously confirmed by the Law Department, for the City of Syracuse.

Finding 2: Proper Journal Entry Supporting Documentation

As stated in the previous audit, issued on April 4, 2011, it was discovered that some original correcting journal entry supporting documentation had been altered suggesting that the original journal entries were just mis-keyed during processing, instead of it being posted to the wrong General Ledger account.

Instead, the original journal entry should have been referenced as it was originally entered with a notation that a correction was needed, without misrepresentation of the original entry. Although these alterations were relatively harmless and immaterial in amount, basic accounting principals dictate that supporting documentation should stand

on its own and tell a story from beginning to end, showing the need for the adjustment; by supplying documentation of how the erroneous transaction was original processed.

Management responded to this finding by stating that "going forward, original transaction documentation will be included in journal entries".

However because the previous audit was issued in April 2011, any licensing journal entries processed between July 2010 through April 2011 will not reflect the new requirement, as it was not implemented until April 2011.

As a result, the City Auditor decided to hold off on journal entry supporting documentation testing, at this time. Instead the City Auditor focused on the process and tools used to document and follow up on licensing correcting journal entries. However, for the period under audit, no journal entry logs were found to be in place.

Recommendation 2:

The City Auditor strongly recommends that a journal entry log be maintained so each journal entry can be correctly documented, followed up on and referenced on the coordinating monthly activity report, acknowledging that an error existed and has since been corrected.

Finding 3: Exhibition License Errors

In previous audits, it has been reported that some exhibition type events taking place in Onondaga County Facilities, located within the city limits, appear to be receiving licenses while other events are not. Because the County is considered a higher level of Government, some individuals mistakenly believed that the County is exempt from the City's licensing requirements. However, the Law Department confirmed that all events taking place within the city limits are required to be licensed regardless if they are taking place in a County facility or not. As a result, events in County Facilities have been handled very inconsistently over the years.

Management responded to this finding by stating that "the licensing division will work with the Department of Law and Ordinance Enforcement regarding this item.

In the previous licensing audit, issued on April 4, 2011, the Office of the City Auditor, recommended reestablishing the process of charging a licensing's fee for events taking place in Onondaga County facilities. However, while performing the current audit, the City Auditor's Office learned that a new procedure has been implemented; where the Police Department now informs the Licensing Division of each request they receive to supply emergency service personnel for an event, to ensure the event has been properly licensed.

License Function Audit Page 5

Recommendation 3:

The Office of the City Auditor is very pleased to see that new procedures have been put into place to help identify those events operating without a proper Entertainment &/or Exhibition License. At this time, however the City Auditor recommends that these new procedures be documented so that each department has a very clear understanding of their responsibilities regarding this process.

Finding 4: Non-existent and/or Unauthorized fees

In previous Audits, it was discovered that a \$10.00 administrative fee was charged to replace a Taxi License; when in fact the City charter makes no reference to such a fee. When the licensing staff was asked to provide ordinance documentation authorizing this fee, no supporting documentation could be provided, resulting in this fee being classified as non-existent and/or unauthorized.

Management responded to this finding by stating that "the licensing division will work with the Department of Law to update the application fees".

Recommendation 4:

Although the above administrative fee is considered immaterial in amount, it is still categorized as an unauthorized fee not established by the Common Council. The Office of the City Auditor strongly recommends that the administration and Common Council embark on a cost analysis of the licensing process, in an effort to update the licensing fees currently being charged, as fees have not been updated in approximately 10 years or more and are in serious need of updating. Ideally licensing fees should cover both labor and material costs associated with issuing a particular license, including the labor costs associated with Codes Enforcement and Fire Department inspections; as well as Police Department background checks.

Finding 5: Food Vendor/Peddler License Errors

After reviewing the Food Vendor/Peddler License applications from this and previous audits, it was discovered that there is no valid One Day Food Vendor License for \$20.00 on the books, even though a one day special event category is listed on the Food Vendor license application. As a result, the City Auditor felt the most applicable license to be issued would have been for a one week Food Vendor license at a cost of \$100; per Section 14-44(d) of the Revised General Ordinances, thus undercharging the licensees.

Management responded to this finding by referencing <u>General Ordinance Section 14-49</u>, <u>Paragraphs 1-4</u>, indicating that food vendors are already licensed for the year and how both Food vendor & Special event licensing can be suspended by the Commissioners of Licensing and the Parks Department during special events. In addition, it describes how the vendor can be charged a fee of equal expense incurred for the cost due to the City.

License Function Audit Page 6

Lastly, Management referenced <u>chapter 9</u>, <u>article 7</u>, <u>sec 9-83</u> of the Syracuse City Charter, which discusses a \$20.00 per day Peddlers license.

In response the City Auditor referenced <u>General Ordinance section 9-78</u>, which states that "no peddler or similar vendor of goods, wares, merchandise and other <u>nonfood items</u>... shall do business with the city without a license obtained as provided in this article." (Chapter 9, article 7, of the Syracuse City Charter; titled, "Peddlers".)

One of the issues surrounding this finding is the fact that last year the Parks Department had a Fireworks Celebration ordinance # 237-2010 approved, establishing a one day food vendor fee of \$50.00 and a one day non-food vendor fee of \$25.00, both of which are greater than what was charged in the past, establishing new fee parameters. However last years ordinance was worded in such a fashion that these fees were good for **July 2, 2010**, **only**, which means that a new ordinance will need to be prepared and approved every year in order to change the date of the event.

Because management and the City Auditor have differing interpretations of which City Charter ordinance to follow in this situation, the matter has been referred to the Law Department for clarification and a final determination as to how to proceed going forward.

Recommendation 5:

The Office of the City Auditor is not arguing the process of charging a "One Day Food Vendor / Special Event licensing fee", what is being questioned is the authorized fee amount to be charged. The City of Syracuse charter indicates that a fee may be assessed, as determined by the Commissioner of Parks, but it doesn't establish a set dollar amount to charge.

As a result, the Office of the City Auditor has recommended that the Parks Department draft a new ordinance, titled "One Day Special Events", in order to officially establish, approve, and document a set rate to be charged. The ordinance could list out each Parks Department Special Event that the rates would be applied to, without specifying individual dates. In doing so, the need to resubmit a separate ordinance request every year for each event would be eliminated. In addition, it would establish an official "One Day Special Event Fee", reduce the annual work load of both Parks and the City Clerks offices; by reducing the number of ordinance requests being processed, as well as eliminate the annual audit finding in the "Annual Licensing Audit".

In the mean time, the Office of the City Auditor recommends removing the One Day Special Event licensing fee from the Food Vendor License application, until this license can be properly clarified. Once clarified it can be documented and approved by the Common Council as a separate license allowing the City to accurately track how many food vendors participate at each event and to calculate the shared expense for the cost the City incurs for each event, as stated in the City Charter.

Finding 6: Deficient Internal Controls

While tracing transactions from the Monthly Activity Report to the Monthly Balancing Sheet and finally to the Monthly General Ledger activity, the following recording errors and information deficiencies were discovered. On multiple occasions receipt dates, disbursements and/or Journal Entries were not indicated or recorded on the Monthly Activity Reports.

Recommendation 6:

The City Auditor recommends that the Licensing Clerk expand the Monthly Activity Report to include the issuance date and assigned license number, so that a monthly, quarterly or annual reconciliation of license numbers can be performed and a turnover ratio can be determined. This control method ensures that each issued license can easily be matched up with its corresponding approved application, as well as accurately tracking both the processing time and the total number of each license is being issued per year.

Although the combination of the above errors did not result in material inaccuracies in the General Ledger, it is strongly suggested that internal controls be tightened to increase the accuracy of reporting, and to include separation of duty regarding the following responsibilities:

Monthly Activity Reports: It should be noted that the Monthly Balancing Sheet's purpose is to reconcile the receipt and disbursement activity to ensure recording accuracy. Thus, the Monthly Activity Report should be reconciled to the General Ledger and the Monthly Balancing Sheets, at month end, by an individual whose duties are segregated from the Licensing Clerk responsible for creating the Monthly Activity Reports. Any discrepancies found, such as NSF checks, duplicate payments, and/or correcting journal entries should be noted, clearly explained and properly documented on the Monthly Activity Report. Once the reconciliation has been completed, it should be forwarded, reviewed and approved by the 1st Deputy Commissioner of Finance, to provide stronger internal checks and balances.

Finding #6, Management Response:

Per communication the Commissioner of Finance; the department will update the Monthly Activity Report to include the additional information.

Finding 7: Completeness of Licensing Functions

As stated in previous audit reports, the Office of the City Auditor has discovered that the Licensing Division currently is not in compliance with Article 1; Section 5-1(d) of the Syracuse City Charter, regarding licensing activity reporting requirements. The Charter requirement states that, "The Commissioner of Finance shall provide a quarterly report, thirty (30) days after the preceding quarter, stating the number, location and type of new entertainment licenses granted by the City during the preceding quarter. In addition, the Commissioner of Finance shall file an annual report with the City Clerk summarizing the

year's activity concerning entertainment licenses." To date, these reports are not being generated or turned into the City Clerk's office.

In addition, while reviewing the Monthly Activity Reports for completeness, the Office of the City Auditor discovered multiple licensing categories that had no activity; however, the Office of the City Auditor identified multiple activities that appear to be occurring that specifically require a license. As a result, the Office of the City Auditor made various inquires regarding verification procedures that are being performed, within the Licensing Division, to identify potential licensees that are not complying with city licensing requirements.

Recommendation 7:

A master licensing database should continue to be maintained, by the Licensing Clerk, on a routine basis, and used to reconcile monthly issued licensing numbers, create the charter required summary activity reports, and assist the Police Ordinance Enforcement Division in identifying potential licensees that are not in compliance with City licensing requirements.

In addition, the Office of the City Auditor recommends verification procedures be developed, and put into place that would improve co-ordination efforts between the two divisions, resulting in an increase in licensing revenue and compliance with various licensing requirements. Such verification procedures can be as simple as listening to the radio or looking through the entertainment section of various newspapers to identify events that qualify for licensing, such as circuses, concerts, ice shows, or professional sporting events like the Syracuse Crunch hockey games.

Lastly, the Licensing Division should also consider performing an internet phone book search, by business type and location, to help identify additional potential licensees such as snow removal contractors, tow truck companies, and commercial waste haulers.

Finding #7, Management Response:

Per communication the Commissioner of Finance; the Licensing Division generates a monthly report that it distributes to the Department of Audit and the Fist Deputy Commissioner of Finance. A copy will be provided to the City Clerk.

Conclusion:

The Office of the City Auditor uncovered multiple errors regarding the types of general licenses issued and corresponding fees collected, as addressed in the Findings 1-5 above, as well as deficiencies in internal controls, completeness of general licensing functions and enforcement, as discussed in Findings 6 and 7 above. However, the Office of the City Auditor was able to determine, with reasonable assurance, that the Bingo, Games of Chance, Certificate of Use and General License activities, for the audited period, were free of material misstatements.

Auditor Note:

The administration, using either the Licensing Office or the Corporation Counsel's Office, should immediately work toward implementing legislative action to rescind General Ordinances that are seen as unnecessary or obsolete. However, since specific licenses have already been created for a number of events that have continued to occur in the City; such as circuses, concerts, professional hockey and stage productions, these licenses should be used correctly until they are deemed to be unnecessary.

The fact that incorrect licensing fees have been treated as being acceptable reflects a poor management style and is a disservice to the public. An excellent example of how a lax attitude has significance, relates to various events held in Onondaga County facilities, as discussed in Finding #3 above.

Philip J. LaTessa Syracuse City Auditor

July 05, 2011



Philip J. LaTessa City Auditor

License Function Review

April 1, 2010 through June 30, 2010

Introduction:

As authorized by Article 5, Section 5-508 of the City of Syracuse Charter, an examination of the Department of Finance's receipts and disbursements relating to licenses for the period April 1, 2010 through June 30, 2010 was conducted. The Charter necessitates the review be conducted monthly, while the Office of the City Auditor has elected to report the results of the monthly reviews on a quarterly basis. The examination was administered in accordance with the *Government Auditing Standards*, issued by the Comptroller General of the United States and *Standards for the Professional Practice of Internal Auditing*, as circulated by the Institute of Internal Auditors.

These standards require that the audit is planned and performed to attain a reasonable foundation for the judgments and conclusions regarding the function under examination. This review also included evaluations of applicable internal controls and compliance with requirements of law and regulations when necessary to satisfy audit objectives.

The management of the City of Syracuse, New York, is responsible for establishing, maintaining and complying with the internal control structure and for compliance with applicable laws, regulations and contracts.

This report is intended solely for the information of the Mayor, the Common Council and the Department of Finance of the City of Syracuse, New York, yet it is understood to be a matter of public record and its distribution is not limited. Further information regarding this audit is available in the Office of the City Auditor upon request. At this time, the Office of the City Auditor would like to thank the Department of Finance personnel who assisted and cooperated with us during this audit.

Scope:

The scope of the audit entailed reviewing all license related receipts and disbursements for the Bureau of Treasury, Department of Finance, for the period of April 1, 2010 through June 30, 2010.

Objective:

The objectives of the audit were to determine with reasonable assurance that the financial data was accurate and properly recorded and that adequate operational and control procedures existed for the license function at the Bureau of Treasury, Department of Finance.

Methodology:

To reach this assurance, the Office of the City Auditor selected a predetermined number of days to test the Cash Reports for mathematical accuracy. The types of licenses granted on the cash reports and the fees collected were also verified to appropriate rules and regulations. The receipts were then traced to the corresponding general ledger accounts to ensure proper recording. All related vouchers during the audit period were reviewed for appropriateness and accuracy. All Monthly Activity Reports, which itemize the receipts by date and category, and the Daily Cash Reports were traced to the Monthly Balancing Sheets and General Ledger activity.

License Function Audit Page 2

Auditor's Final Recommendation:

Please note that this recommendation has been placed in the unconventional location at the beginning of the audit due to the strong feeling of the Office of the City Auditor regarding the following recommendations.

The Office of the City Auditor strongly recommends that the administration and Corporation Council work together to review and update current licensing categories, fees, requirements, and verbiage. Recommended updates should be brought to the Common Council to seek all necessary legislative approvals.

In addition, as stated in previous licensing audits, the Office of the City Auditor strongly recommends that the administration consider consolidating all licensing and permit functions, such as special event and side walk permits; into one location for better transparency, tracking, cross referencing and compliance enforcement.

Lastly, it should be noted that better oversight of licensing is in order as previous audit reports have commented on an apparent lack of ownership over this function, as various recommendations have not been responded to. The Office of the City Auditor hopes that going forward the administration will work closer with the Office of the City Auditor and communicate its thoughts and suggestions on how it plans to address audit recommendations.

Conclusion:

The Office of the City Auditor uncovered errors that were repetitive in nature with previous audits of this department. Some of repetitive errors included the types of general licenses issued and corresponding fees collected, see Findings 1-5 below, as well as deficiencies in internal controls, completeness of general licensing functions and enforcement, as addressed in the Findings 6 and 7 below. However, the Office of the City Auditor was able to determine, with reasonable assurance, that the Bingo, Games of Chance, Certificate of Use and General License activities, for the audited period, were free of material misstatements.

As noted in this and prior audit reports, missing applications and incorrect licensing fees have been charged as a result of the wrong licenses being issued. Some applicants have been overcharged while others undercharged. Although the monetary amount of these errors may appear immaterial, the fact that inaccurate licensing fees are treated as being acceptable reflects a management style that is unacceptable and a disservice to the public.

During the period under audit, the Deputy Commissioner in charge of licensing at the time, recreated applications that were previously missing, corrected inaccurate &/or missing fee disclosures, and updated license applications that request bonding information, essentially addressing prior year audit Findings 1-4.

License Function Audit Page 3

FINDINGS:

Finding 1: Application and Fee Errors (See Attachment)

When comparing authorized licenses per the City Charter, to the actual licenses posted by the Bureau of Treasury, for the period under audit, the following inadequacies were discovered. Out of forty-six license applications offered, two did not have an application available on the City web site, resulting in 4% of all license applications that are considered missing and still in need of being recreated and posted to the City's web site.

When comparing the regulated license fees to the actual license fees listed on the individual license applications, the following inadequacies were discovered: three applications (or 7%) did not indicate any licensing fee amounts and three applications (or 7%) stated incorrect licensing fee amounts that will need to be corrected. As a result of the most recent application updates, processed by the previous Deputy Commissioner, the licensing department now averages a 13% error ratio regarding the accuracy of posted license application fees.

Recommendation 1:

The Office of the City Auditor would like to commend the Licensing Bureau on its error ratio improvement, regarding licensing fees. However since this issue has been a reoccurring finding for so many years, the office of the City Auditor would like to see an error ratio of 5% or less, in order to remove this as a finding going forward.

Attached is an up to date list of available licenses, and corresponding fees, that are under the responsibility of the Department of Finance. The accuracy of the list was confirmed by the Law Department for the City of Syracuse.

Finding 2: Proper Journal Entry Supporting Documentation

After reviewing all of the journal entries that were processed against each licensing account, it was discovered that, in some cases, the supporting documentation appeared to have been altered suggesting that the original Journal entry was mis-keyed during entry. Instead the original journal entry should have been referenced as it was originally entered with a notation that a correction was needed, without misrepresentation of the original entry.

Although these alterations were relatively harmless, basic accounting principals dictate that supporting documentation should stand on its own and tell a story from beginning to end, showing the need for the adjustment; by supplying documentation of how the erroneous transaction was original processed.

License Function Audit Page 4

Recommendation 2:

The Office of the City Auditor recommends that all journal entry supporting documentation reflect the original transaction as processed, including notes on the proposed correction; as it is far easier to correct an entry when one knows how it was originally booked.

In addition, it is also strongly recommended that a journal entry log be maintained and each entry be documented or at least referenced on the coordinating monthly activity report, acknowledging that an error existed and has since been corrected.

Finding #2, Management Response:

Per communication the Commissioner of Finance; going forward, original transaction documentation will be included in journal entries.

Finding 3: Exhibition License Errors

There is confusion regarding events taking place in Onondaga County Facilities, as some events appear to be receiving licenses, while other events are not. Back in November 2009, the Office of the City Auditor submitted a request to the Law Department, for clarification on this topic, the Law Department agreed that all events taking place within the city limits are required to be licensed regardless if they are taking place at a County facility or not. However, the Law Department also indicated that because the County is considered a higher level of Government, some City staff mistakenly believed that the County is exempt from the City's licensing requirements. As a result, events in County Facilities have been handled very inconsistently over the years.

Recommendation 3:

The Office of the City Auditor, strongly recommends that there is a need to reestablish the process of charging a licensing's fee for events taking place in Onondaga County facilities, especially in light of the current fiscal crisis. It is also important to note that it is not the facility owner, Onondaga County, who pays the licensing fees; it is the event organizers who are obligated to obtain the proper license. Lastly, one needs to keep in mind that one of the purposes of an entertainment type license is to notify the Police and Fire Departments of scheduled events so that emergency services can properly be coordinated.

Finding #3, Management Response:

Per communication the Commissioner of Finance; the department will work with the Department of Law and Ordinance Enforcement regarding this item.

License Function Audit Page 5

Finding 4: Non-existent and/or Unauthorized fees

In our previous Audits it was discovered that a \$10.00 administrative fee was charged to replace a Taxi License; when in fact the City charter makes no reference to such a fee. When the licensing staff was asked to provide ordinance documentation authorizing this fee, no supporting documentation could be provided, resulting in this fee being classified as non-existent and/or unauthorized.

Recommendation 4:

Although the above administrative fee is considered immaterial in amount, it is still categorized as an unauthorized fee not established by the Common Council. The Office of the City Auditor strongly recommends that the administration and Common Council embark on a cost analysis of the licensing process, in an effort to update the licensing fees currently being charged, as fees have not been updated in approximately 10 years or more and are in serious need of updating. The licensing fees should ideally cover both labor and material costs associated with issuing a particular license, including the labor costs associated with Codes Enforcement and Fire Department inspections; as well as Police Department background checks. The city may opt to check with other upstate municipalities for current and reasonable fee structures.

To avoid the appearance that non-existent or unauthorized applications, fees, and licenses are being issued, the City Auditor recommends that the Licensing and Law Departments continue to work closely together to clearly define, outline and update the purpose, use, and cost associated with each license being processed.

Finding #4, Management Response:

Per communication the Commissioner of Finance; the department will work with the Department of Law to update the application fees.

Finding 5: Food Vendor/Peddler License Errors

After reviewing the Food Vendor/Peddler License applications from this and previous audits, it was discovered that there is no valid One Day Food Vendor License for \$20.00 on the books, even though a one day special event category is listed on the Food Vendor license application. For these cases, the most applicable license to be issued would have been for a one week Food Vendor license at a cost of \$100; per Section 14-44(d) of the Revised General Ordinances, thus undercharging the licensees.

Because the Office of the City Auditor could not find any specific information in the City Charter or general ordinances addressing a One Day Food Vendor / Special Events License, the Licensing department was both previously and currently asked to supply an ordinance and/or other supporting documentation that outlines and authorizes such a one day license.

License Function Audit Page 6

As a result, the Office of the City Auditor was directed to General Ordinance Section 14-49, Paragraphs 1-4, addressing the temporary suspension of permits by the Commissioner of Licensing and/or the Commissioner of Parks, regarding annual community events.

Although General Ordinance Chapter 14, Section 14-49, Paragraphs 1-4, refers to suspending a vendor license due to a special event, it does not indicate the authorization or existence of a One Day Food Vendor / Special Events License &/or its coordinating fees. It does however specify that a "recognized licensed vendor who has a designated site shall have first right to bid on a special event. Said vendor shall pay an equal share of the expenses for the cost the City would incur for this event to occur, providing the vendor agrees to comply with the specifications of the Commissioner of Parks, Recreation and Youth Programs to vend at said site or location."

As a result, the Office of the City Auditor requested additional documentation, to be provided by the Commissioner of Parks and Recreation, authorized by the Common Council, supporting the creation, validation and approved fee schedule for a One Day Food Vendor / Special Event License. However at that time, no supporting documentation was forwarded, strengthening the City Auditor's opinion that there is no valid One Day Food Vendor / Special Event license on the books.

Finding #5, Management Response:

Per communication with the Commissioner of Finance; "under Chapter 9, article 7, sec 9-83 there is a one day license at \$20.00 for peddlers. Food vendors at the events are already licensed for the year but are suspended for special events and can be charged a fee of equal expense incurred for the cost due to the city per Chapter 14, Article 4, sec 14-49 #3."

"Because the City has charged the \$20.00 one day vendor/peddler fee for many years", the Commissioner of Finance feels that "it is best to request the Law Department to review" this item and "follow up with" the Office of the City Auditor.

As a result of the above management response, the Office of the City Auditor looked into Chapter 9, article 7, sec 9-83 of the Syracuse City Charter, which addresses a \$20.00 per day Peddlers license. However, General Ordinance section 9-78, specifically indicates that "no peddler or similar vendor of goods, wares, merchandise and other <u>nonfood items</u>... shall do business with the city without a license obtained as provided in this article." (Chapter 9, article 7, of the Syracuse City Charter; titled, "Peddlers".)

Recommendation 5:

The Office of the City Auditor is not arguing the process of charging a "One Day Food Vendor / Special Event licensing fee", what is being questioned is the authorized fee amount to be charged. The City of Syracuse charter indicates that a fee may be charged, as determined by the Commissioner of Parks, but it doesn't establish a set dollar amount. As a result, it has been recommended that a new ordinance be drafted, titled "One Day Special Events", in order to officially establish, approve, and document a set rate to be charged for both Food and Non-food Vendor licensing during Parks Department Special Events.

One of the issues surrounding this finding is the fact that last year the Parks Department had a Fireworks Celebration ordinance # 237-2010 approved, establishing a one day food vendor fee of \$50.00 and a one day non-food vendor fee of \$25.00, both of which are greater that what was charged in the past, establishing new fee parameters. However last years ordinance was worded in such a fashion that these fees were good for July 2, 2010, **only**, which means that a new ordinance will need to be prepared and approved every year in order to change the date of the event.

As a result, the Office of the City Auditor has recommended that the Parks Department draft a new ordinance, titled "One Day Special Events". The ordinance could list out each Parks Department Special Event that the rates would be applied to, without specifying individual dates. In doing so, the need to resubmit a separate ordinance request every year for each individual event would be eliminated. As a result, this would establish an official "One Day Special Event Fee", reduce the annual work load of both Parks and the City Clerks offices, as well as eliminate the annual audit finding in the Finance Department's "Annual Licensing Audit".

In the mean time, the Office of the City Auditor recommends removing the One Day Special Event licensing fee from the Food Vendor License application, until this license can be properly clarified. Once clarified it can be documented and approved by the Common Council as a separate license allowing the City to accurately track how many food vendors participate at each event and to calculate the shared expense for the cost the City incurs for each event, as stated in the City Charter.

Finding 6: Deficient Internal Controls

While tracing transactions from the Monthly Activity Report to the Monthly Balancing Sheet and finally to the Monthly General Ledger activity, the following recording errors and information deficiencies were discovered. On multiple occasions receipt dates, disbursements and/or Journal Entries were not accurately recorded on the Monthly Activity Reports. Of the transactions selected for testing, it was discovered that multiple licensing requests have been received per application, resulting in license transactions not properly being identified and recorded on the monthly activity reports.

Recommendation 6:

It is recommended that the Licensing Clerk write the issued licensing number and date on each corresponding license application and expand the Monthly Activity Report to also include the issued license number and date, so that a monthly, quarterly or annual reconciliation of license numbers can be performed and a turnover ratio can be determined. This control method ensures that each issued license can easily be matched up with its corresponding approved application, as well as accurately tracking both the processing time and the total number of each license being issued per year.

Although the combination of the above errors did not result in material inaccuracies in the General Ledger, it is strongly suggested that internal controls be tightened to increase

License Function Audit Page 8 the accuracy of reporting, and to include separation of duty regarding the following responsibilities:

Monthly Activity Reports: It should be noted that the Monthly Balancing Sheet's purpose is to reconcile the receipt and disbursement activity to ensure recording accuracy. Thus, the Monthly Activity Report should be reconciled to the General Ledger and the Monthly Balancing Sheets, at month end, by an individual whose duties are segregated from the Licensing Clerk responsible for creating the Monthly Activity Reports. Any discrepancies found, such as NSF checks, duplicate payments, and/or correcting journal entries should be noted, clearly explained and properly documented on the Monthly Activity Report. Once the reconciliation has been completed, it should be forwarded, reviewed and approved by the 1st Deputy Commissioner of Finance, to provide stronger internal checks and balances.

Finding #6, Management Response:

Per communication the Commissioner of Finance; the department will update the Monthly Activity Report to include the additional information.

Finding 7: Completeness of Licensing Functions

As stated in previous audit reports, the Office of the City Auditor has discovered that the Licensing Division currently is not in compliance with Article 1; Section 5-1(d) of the Syracuse City Charter, regarding licensing activity reporting requirements. The Charter requirement states that, "The Commissioner of Finance shall provide a quarterly report, thirty (30) days after the preceding quarter, stating the number, location and type of new entertainment licenses granted by the City during the preceding quarter. In addition, the Commissioner of Finance shall file an annual report with the City Clerk summarizing the year's activity concerning entertainment licenses." To date, these reports are not being generated or turned into the City Clerk's office.

In addition, while reviewing the Monthly Activity Reports for completeness, the Office of the City Auditor discovered multiple licensing categories that had no activity; however, the Office of the City Auditor identified multiple activities that appear to be occurring that specifically require a license. As a result, the Office of the City Auditor made various inquires regarding verification procedures that are being performed, within the Licensing Division, to identify potential licensees that are not complying with city licensing requirements.

Recommendation 7:

A master licensing database should continue to be maintained, by the Licensing Clerk, on a routine basis, and used to reconcile monthly issued licensing numbers, create the charter required summary activity reports, and assist the Police Ordinance Enforcement Division in identifying potential licensees that are not in compliance with City licensing requirements.

In addition, the Office of the City Auditor recommends verification procedures be developed, and put into place that would improve co-ordination efforts between the two divisions, resulting in an increase in licensing revenue and compliance with various licensing requirements. Such verification procedures can be as simple as listening to the radio or looking through the entertainment section of various newspapers to identify events that qualify for licensing, such as circuses, concerts, ice shows, or professional sporting events like the Syracuse Crunch hockey games.

Lastly, the Licensing Division should also consider performing an internet phone book search, by business type and location, to help identify additional potential licensees such as snow removal contractors, tow truck companies, and commercial waste haulers.

Finding #7, Management Response:

Per communication the Commissioner of Finance; the Licensing Division generates a monthly report that it distributes to the Department of Audit and the Fist Deputy Commissioner of Finance. A copy will be provided to the City Clerk.

Conclusion:

The Office of the City Auditor uncovered multiple errors regarding the types of general licenses issued and corresponding fees collected, as addressed in the Findings 1-5 above, as well as deficiencies in internal controls, completeness of general licensing functions and enforcement, as discussed in Findings 6 and 7 above. However, the Office of the City Auditor was able to determine, with reasonable assurance, that the Bingo, Games of Chance, Certificate of Use and General License activities, for the audited period, were free of material misstatements.

Auditor Note:

The administration, using either the Licensing Office or the Corporation Counsel's Office, should immediately work toward implementing legislative action to rescind General Ordinances that are seen as unnecessary or obsolete. However, since specific licenses have already been created for a number of events that have continued to occur in the City; such as circuses, concerts, professional hockey and stage productions, these licenses should be used until they are deemed to be unnecessary and should be used correctly.

The fact that incorrect licenses and erroneous licensing fees have been treated as being acceptable reflects a poor management style and is a disservice to the public. An excellent example of how a lax attitude has significance, relates to various events held in Onondaga County facilities, as discussed in Finding #3 above.

Philip J. LaTessa Syracuse City Auditor

April 4, 2011



Philip J. LaTessa City Auditor

License Function Review

July 1, 2009 through March 31, 2010

Introduction:

As authorized by Article 5, Section 5-508 of the City of Syracuse Charter, an examination of the Department of Finance's receipts and disbursements relating to licenses for the period July 1, 2009 through March 31, 2010 was conducted. The Charter necessitates the review be conducted monthly, while the Office of the City Auditor has elected to report the results of the monthly reviews in a combined audit report covering three quarters of the fiscal year. The examination was administered in accordance with the Government Auditing Standards, issued by the Comptroller General of the United States and Standards for the Professional Practice of Internal Auditing, as circulated by the Institute of Internal Auditors.

These standards require that the audit is planned and performed to attain a reasonable foundation for the judgments and conclusions regarding the function under examination. This review also included evaluations of applicable internal controls and compliance with requirements of law and regulations when necessary to satisfy audit objectives.

The management of the City of Syracuse, New York, is responsible for establishing, maintaining and complying with the internal control structure and for compliance with applicable laws, regulations and contracts.

This report is intended solely for the information of the Mayor, the Common Council and the Department of Finance of the City of Syracuse, New York, yet it is understood to be a matter of public record and its distribution is not limited. Further information regarding this audit is available in the Office of the City Auditor upon request. At this time, the Office of the City Auditor would like to thank the Department of Finance personnel who assisted and cooperated with us during this audit.

Scope:

The scope of the audit entailed reviewing all license related receipts and disbursements for the Bureau of Treasury, Department of Finance, for the period of July 1, 2009 through March 31, 2010.

Objective:

The objectives of the audit were to determine with reasonable assurance that the financial data was accurate and properly recorded and that adequate operational and control procedures existed for the license function at the Bureau of Treasury, Department of Finance.

Methodology:

To reach this assurance, the Office of the City Auditor selected a predetermined number of days to test the Cash Reports for mathematical accuracy. The types of licenses granted on the cash reports and the fees collected were also verified to appropriate rules and regulations. The receipts were then traced to the corresponding general ledger accounts to ensure proper recording. All related vouchers during the audit period were reviewed for appropriateness and accuracy. All Monthly Activity Reports, which itemize the receipts by date and category, and the Daily Cash Reports were traced to the Monthly Balancing Sheets and General Ledger activity.

Auditor's Final Recommendation:

Please note that this recommendation has been placed in the unconventional location at the beginning of the audit due to the strong feeling of the Office of the City Auditor regarding the following recommendations.

The City Auditor has now seen three Deputy Commissioners and approximately three clerks rotate in and out of the Licensing Division in the past six years. As a result, it has been next to impossible for any one person to correct all of the licensing issues that have carried forward from year to year.

Effective January 4, 2010, the Deputy Commissioner in charge of licensing for the prior two and half years, which includes six of the nine months under audit, was reassigned to a different department within city government. While this individual has done a great deal of work to address prior audit findings, to update license applications, and to amend licensing legislation, these efforts have been limited as authorization and implementation of changes are contingent upon the cooperation and assistance of individuals in other departments. In the past interdepartmental relationships have not always achieved the timely resolution of licensing matters.

As a result, it is of concern to the Office of the City Auditor that issues identified in this audit will continue as new individuals attempt to discern the often complicated and archaic license requirements, which are in serious need of modernization.

Therefore, the Office of the City Auditor strongly recommends that the administration and Corporation Council work together to review and update current licensing categories, fees, requirements, and verbiage. Recommended updates should be brought to the Common Council to seek all necessary legislative approvals.

In addition, as stated in previous licensing audits, the Office of the City Auditor strongly recommends that the administration consider consolidating the licensing division under one department, such as the City Clerk's Office, which previously carried out this function and currently issues various licenses on behalf of New York State. Another option is to transfer it to the new permit desk, recently created by the new administration, in an effort to stream line processes and to better serve the public. This would also serve and promote reasonable neighborhood and business development timelines.

Lastly, it should be noted that better oversight of licensing is in order as previous audit reports have commented on an apparent lack of ownership over this function, as various recommendations have not been responded to. The Office of the City Auditor hopes that going forward the administration will work closer with the Office of the City Auditor and communicate its thought and suggestions on how it plans to address audit recommendations. The new administration that came into office in January, 2010, will offer a fresh opportunity for improvement that can enhance the city's licensing function.

Conclusion:

The Office of the City Auditor uncovered multiple errors regarding the types of general licenses issued and corresponding fees collected, see Findings 1-5 below, as well as deficiencies in internal controls, completeness of general licensing functions and enforcement, as addressed in the Findings 6 and 7 below. However, the Office of the City Auditor was able to determine, with reasonable assurance, that the Bingo, Games of Chance, Certificate of Use and General License activities, for the audited period, were free of material misstatements.

Over the past several years, the Office of the City Auditor has repeatedly questioned the use of the Entertainment / Exhibit license as a seemingly catch-all category, when they relate to specific activities that are covered by licenses that have already been created under various ordinances for such events as: circuses, concerts, ice shows, musical shows, open air cultural events, professional basketball / hockey, and both theater and stage productions. Unfortunately these individual licenses were not being issued during the time frame under audit, but were mistakenly categorized under the Entertainment/Exhibit license at a fee of \$55.00 per day compared to the proper fees, which range from \$10.00-\$25.00 per day.

As noted in this and prior audit reports, missing applications and incorrect licensing fees have been charged as a result of the wrong licenses being issued. Some applicants have been overcharged while others undercharged. Although the monetary amount of these errors may appear immaterial, the fact that inaccurate licensing fees are treated as being acceptable reflects a management style that is unacceptable and a disservice to the public.

During the period under audit, the Deputy Commissioner in charge of licensing at the time, recreated applications that were previously missing, corrected inaccurate &/or missing fee disclosures, and updated license applications that request bonding information, essentially addressing prior year audit Findings 1-4.

FINDINGS:

Finding 1: Application and Fee Errors (See Attachment #1)

When comparing authorized licenses per the City Charter, to the actual licenses posted by the Bureau of Treasury, for the period under audit, the following inadequacies were discovered. Out of forty-six license applications offered, one did not have an application available on the City web site, resulting in 2% of all license applications that are considered missing and still in need of being recreated and posted to the City's web site.

When comparing the regulated license fees to the actual license fees listed on the individual license applications, the following inadequacies were discovered: three applications (or 7%) did not indicate any licensing fee amounts and three applications (or 7%) stated incorrect licensing fee amounts that will need to be corrected. As a result of the most recent application updates, processed by the previous Deputy Commissioner, the

licensing department now averages a 13% error ratio regarding the accuracy of posted license application fees; which is a remarkable improvement of 43%, over prior audit period test results.

Recommendation 1:

The Office of the City Auditor would like to commend the Licensing Bureau on its impressive 43% error ratio improvement, regarding licensing fees. However since this issue has been a reoccurring finding for so many years, the office of the City Auditor would like to see an error ratio of 5% or less, in order to remove this as a finding going forward.

Attached is an up to date list of available licenses, and corresponding fees, that are under the responsibility of the Department of Finance (**Attachment 2**). The accuracy of the list was confirmed by the Law Department for the City of Syracuse in November 2009.

Finding 2: Proper Journal Entry Supporting Documentation

After reviewing all of the journal entries that were processed against each licensing account, it was discovered that, in some cases, the supporting documentation appeared to have been altered suggesting that the original Journal entry was miskeyed during entry. Instead the original Journal entry should have been referenced as it was originally entered with a notation that a correction was needed, without misrepresentation of the original entry.

Although these alterations were relatively harmless, basic accounting principals dictate that supporting documentation should stand on its own and tell a story from beginning to end, showing the need for the adjustment; by supplying documentation of how the erroneous transaction was original processed.

Recommendation 2:

The Office of the City Auditor recommends that all journal entry supporting documentation reflect the original transaction as processed, including notes on the proposed correction; as it is far easier to correct an entry when one knows how it was originally booked.

In addition, it is also strongly recommended that a journal entry log be maintained and each entry be documented or at least referenced on the coordinating monthly activity report, acknowledging that an error existed and has since been corrected.

Finding 3: Exhibition License Errors

In reviewing the Exhibition License applications, it was discovered that five out of five (or 100%) of the applications were either inappropriately categorized and/or over charged. Various applications should have been issued as Concert, Ice Show, Motion Picture, Musical Show, Theater and Stage Production Licenses at a cost of \$15.00-\$25.00 per day, but were all mistakenly classified as Exhibition Licenses with a fee of \$55.00 dollars resulting in over charging the licensees by up to \$40.00 per day. Apparently these

miscellaneous licenses were mistakenly categorized as "Exhibition Licenses (not already provided)", since the correct license applications were not available at the beginning of the fiscal year, for these miscellaneous licenses.

Lastly, there still seems to be some confusion regarding events taking place in Onondaga County Facilities, as some events appear to be receiving licenses, while other events are not. Back in November 2009, the Office of the City Auditor submitted a request to the Law Department, for clarification on this topic, the Law Department agreed that all events taking place within the city limits are required to be licensed regardless if they are taking place at a County facility or not. However, the Law Department also indicated that because the County is considered a higher level of Government, some City staff mistakenly believed that the County is exempt from the City's licensing requirements. As a result, events in County Facilities have been handled very inconsistently over a period of time. A consistent implementation of licensing for events in County Facilities is strongly encouraged.

Recommendation 3:

Since the last licensing audit was issued in December, 2009, the missing license applications, cited above, have successfully been recreated and posted to the internet reflecting the proper licensing fees. However the City Auditor will continue to carry this finding until a 5% or less issued license error ratio is achieved on Exhibition Licenses.

In addition the Office of the City Auditor, strongly recommends that there is a need to reestablish the process of charging a licensing's fee for events taking place in Onondaga County facilities, especially in light of the current fiscal crisis. It is also important to note that it is not the facility owner, Onondaga County, who pays the licensing fees; it is the event organizers who are obliged to obtain the proper license. Lastly, one needs to keep in mind that one of the purposes of an entertainment type license is to notify the Police and Fire Departments of scheduled events so that emergency services can properly be coordinated.

Finding 4: Non-existent and/or Unauthorized fees

While reviewing license applications and the fees being administered, it was discovered that a \$10.00 administrative fee was charged to replace a Taxi License; when in fact the City charter makes no reference to such a fee. When the licensing staff was asked to provide documentation authorizing this fee, no supporting documentation was provided, resulting in this fee being classified as non-existent and/or unauthorized.

Recommendation 4:

Although the above administrative fee is considered immaterial in amount, it is still categorized as an unauthorized fee not established by the Common Council. The Office of the City Auditor strongly recommends that the administration and Common Council embark on a cost analysis of the licensing process, in an effort to update the licensing fees currently being charged, as fees have not been updated in approximately 10 years or more and are in serious need of updating. The licensing fees should ideally cover both labor and material costs associated with issuing a particular license, including the labor

License Function Audit Page 6

costs associated with Codes Enforcement and Fire Department inspections; as well as Police Department background checks. The city may opt to check with other upstate municipalities for current and reasonable fee structures.

To avoid the appearance that non-existent or unauthorized applications, fees, and licenses are being issued, the City Auditor recommends that the Licensing and Law Departments continue to work closely together to clearly define, outline and update the purpose, use, and cost associated with each license being processed.

Finding 5: Food Vendor/Peddler License Errors

After reviewing the Food Vendor/Peddler License applications from this and previous audits, it was discovered that there is no valid One Day Food Vendor License for \$20.00 on the books, even though a one day special event category is listed on the Food Vendor license application. For these cases, the most applicable license to be issued would have been for a one week Food Vendor license at a cost of \$100; per Section 14-44(d) of the Revised General Ordinances, thus undercharging the licensees.

Finding 5: Subsequent Event

Because the Office of the City Auditor could not find any specific information in the City Charter or a general ordinance addressing a One Day Food Vendor / Special Events License, the previous Deputy Commission in charge of licensing was asked to supply an ordinance and/or other supporting documentation that outlines and authorizes such a one day license.

As a result, the Office of the City Auditor was directed to General Ordinance Section 14-49, Paragraphs 1-4, addressing the temporary suspension of permits by the Commissioner of Licensing and/or the Commissioner of Parks, regarding annual community events.

Although this Ordinance Section refers to suspending a vendor license due to a special event, it does not indicate the authorization or existence of a one day special event license. It does however specify that a "recognized licensed vendor who has a designated site shall have first right to bid on a special event. Said vendor shall pay an equal share of the expenses for the cost the City would incur for this event to occur, providing the vendor agrees to comply with the specifications of the Commissioner of Parks, Recreation and Youth Programs to vend at said site or location."

As a result, the Office of the City Auditor requested additional documentation, to be provided by the Commissioner of Parks and Recreation from the Common Council supporting the creation, validation and approved fee calculation &/or schedule for a One Day Special Event License. However to date no supporting documentation has been forwarded to the Office of the City Auditor, strengthening the City Auditor's opinion that there is no valid One Day Special Event license on the books.

Recommendation 5:

At this time, the Office of the City Auditor recommends removing the One Day Special Event licensing fee from the Food Vendor License application, until this license can be properly clarified. Once clarified it can be documented and approved by the Common Council as a separate license allowing the City to accurately track how many food vendors participate at each event and to calculate the shared expense for the cost the City would incur for this event, as stated in the City Charter. As a second alternative, perhaps the Administration might consider creating a separate license called "One Day Special Events".

Finding 6: Deficient Internal Controls

While tracing transactions from the Monthly Activity Report to the Monthly Balancing Sheet and finally to the Monthly General Ledger activity, the following recording errors and information deficiencies were discovered. On multiple occasions receipt dates, disbursements and/or Journal Entries were not accurately recorded on the Monthly Activity Reports. Of the transactions selected for testing, it was discovered that multiple licensing requests have been received per application, resulting in license transactions not properly being identified and recorded on the monthly activity reports.

In addition, while attempting to reconcile issued license numbers with their corresponding license applications, the Office of the City Auditor discovered that separate Excel spreadsheets are being used to track issued license numbers. Previous audits have reported on a deficiency in the department for not having a tracking system in place; the excel spreadsheets examined in this audit revise this finding.

The use of multiple excel spreadsheets does not appear to be the best method for performing an accurate reconciliation, and an internal review for improving the situation as reported is recommended. Successful implementation of a reconciliation plan will permit the department to comply with the charter issue requirement to report quarterly to the City Clerk's office.

Recommendation 6:

The City Auditor recommends reconciling the unissued licensing numbers and total licensing fees collected to ensure everything is properly accounted for and safeguarded. In addition, it is also recommended that the Licensing Clerk write the issued licensing number and date on each corresponding license application and expand the Monthly Activity Report to also include the issued license number and date, so that a monthly, quarterly or annual reconciliation of license numbers can be performed and a turnover ratio can be determined. This control method ensures that each issued license can easily be matched up with its corresponding approved application, as well as accurately tracking both the processing time and the total number of each license being issued per year.

Although the combination of the above errors did not result in material inaccuracies in the General Ledger, it is strongly suggested that internal controls be tightened to increase the accuracy of reporting, and to include separation of duty regarding the following responsibilities:

Monthly Activity Reports: It should be noted that the Monthly Balancing Sheet's purpose is to reconcile the receipt and disbursement activity to ensure recording

accuracy. Thus, the Monthly Activity Report should be reconciled to the General Ledger and the Monthly Balancing Sheets, at month end, by an individual whose duties are segregated from the Licensing Clerk responsible for creating the Monthly Activity Reports. Any discrepancies found, such as NSF checks, duplicate payments, and/or correcting journal entries should be noted, clearly explained and properly documented on the Monthly Activity Report. Once the reconciliation has been completed, it should be forwarded, reviewed and approved by the 1st Deputy Commissioner of Finance, to provide stronger internal checks and balances.

Master Licensing Database: As noted above, the Licensing Division is maintaining an issued licensing database, which should continue to be maintained and updated on a routine bases by the Licensing Clerk. However, the current database should be combined with the Monthly Activity Report, to track and record all license applicants by name, organization, location, activity date, application date, license type, license purpose, fees collected, application status and corresponding issued license date and number. Once combined, this data base can then easily be sorted and used to reconcile monthly issued licensing numbers, track processing time, create the Charter required summary activity reports, as discussed in Finding 7 below, and assist those responsible for issuing and enforcing the City's licensing requirements.

Finding 7: Completeness of Licensing Functions

As stated in previous audit reports, the Office of the City Auditor has discovered that the Licensing Division currently is not in compliance with Article 1; Section 5-1(d) of the Syracuse City Charter, regarding licensing activity reporting requirements. The Charter requirement states that, "The Commissioner of Finance shall provide a quarterly report, thirty (30) days after the preceding quarter, stating the number, location and type of new entertainment licenses granted by the City during the preceding quarter. In addition, the Commissioner of Finance shall file an annual report with the City Clerk summarizing the year's activity concerning entertainment licenses." To date, these reports are not being generated or turned into the City Clerk's office.

In addition, while reviewing the Monthly Activity Reports for completeness, the Office of the City Auditor discovered multiple licensing categories that had no activity; however, the Office of the City Auditor identified multiple activities that appear to be occurring that specifically require a license. As a result, the Office of the City Auditor made various inquires regarding verification procedures that are being performed, within the Licensing Division, to identify potential licensees that are not complying with city licensing requirements.

Recommendation 7:

A master licensing database should continue to be maintained, by the Licensing Clerk, on a routine basis, and used to reconcile monthly issued licensing numbers, create the charter required summary activity reports, and assist the Police Ordinance Enforcement Division in identifying potential licensees that are not in compliance with City licensing requirements.

In addition, the Office of the City Auditor recommends verification procedures be developed, and put into place that would improve co-ordination efforts between the two divisions, resulting in an increase in licensing revenue and compliance with various licensing requirements. Such verification procedures can be as simple as listening to the radio or looking through the entertainment section of various newspapers to identify events that qualify for licensing, such as circuses, concerts, ice shows, or professional sporting events like the Syracuse Crunch hockey games.

Lastly, the Licensing Division should also consider performing an internet phone book search, by business type and location, to help identify additional potential licensees such as snow removal contractors, tow truck companies, and commercial waste haulers.

Conclusion:

The Office of the City Auditor uncovered multiple errors regarding the types of general licenses issued and corresponding fees collected, as addressed in the Findings 1-5 above, as well as deficiencies in internal controls, completeness of general licensing functions and enforcement, as discussed in Findings 6 and 7 above. However, the Office of the City Auditor was able to determine, with reasonable assurance, that the Bingo, Games of Chance, Certificate of Use and General License activities, for the audited period, were free of material misstatements.

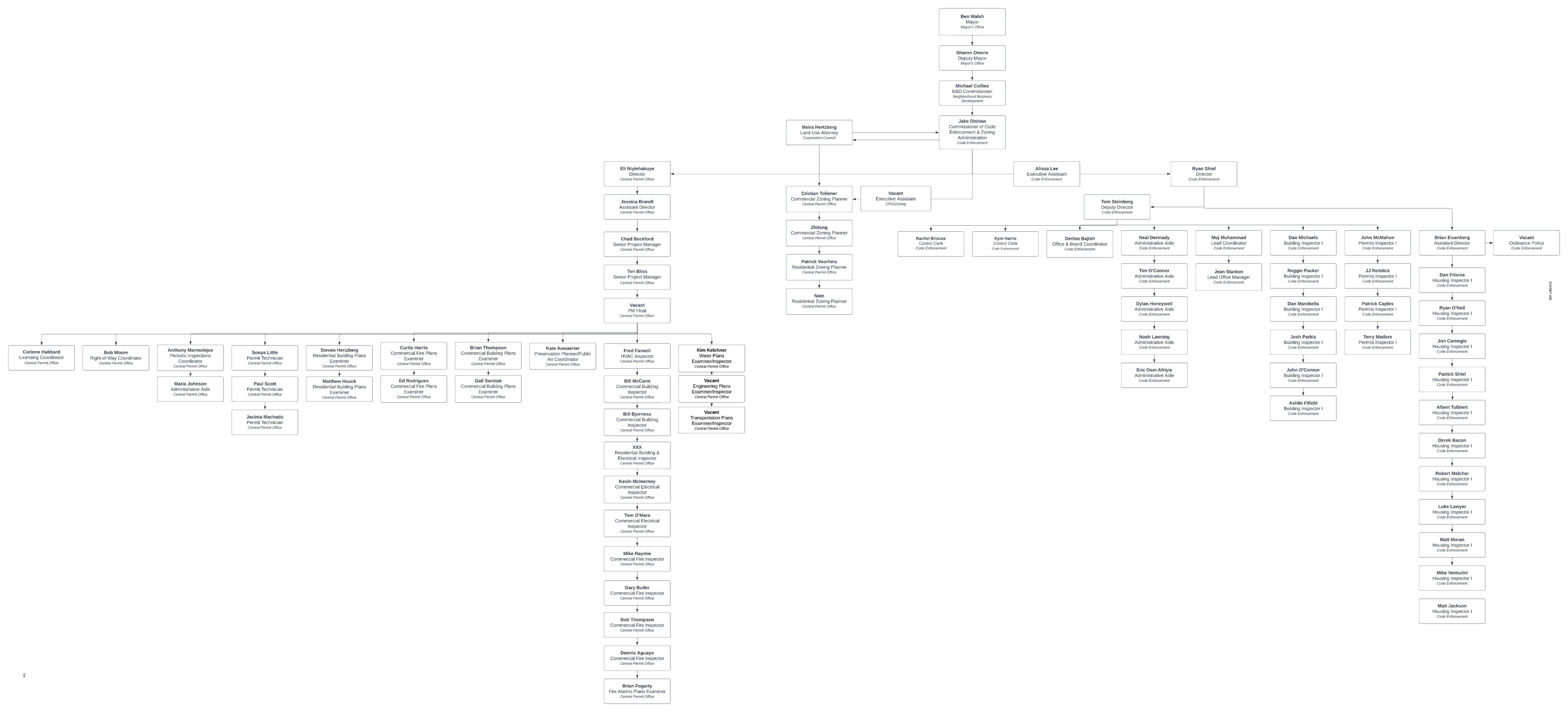
Auditor Note:

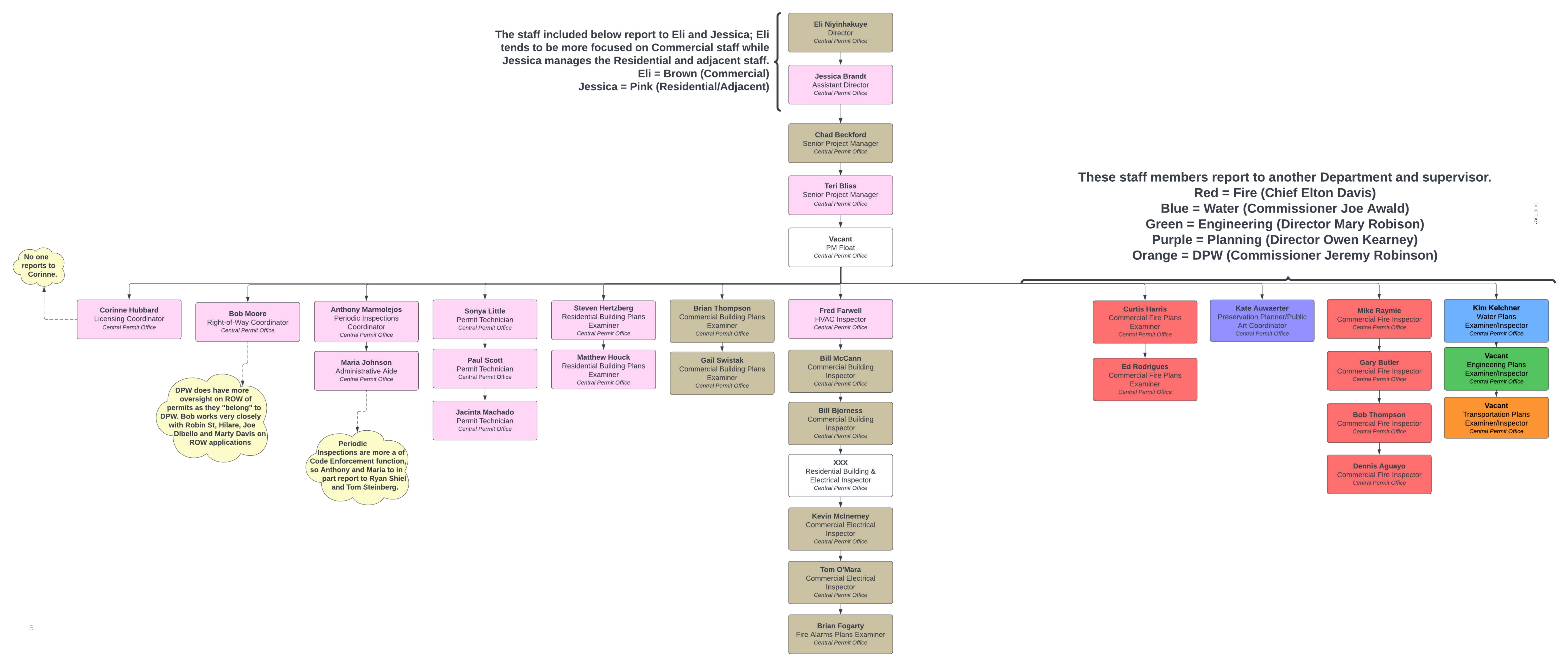
The administration, using either the Licensing Office or the Corporation Counsel's Office, should immediately work toward implementing legislative action to rescind General Ordinances that are seen as unnecessary or obsolete. However, since specific licenses have already been created for a number of events that have continued to represent activates occurring in the City – circuses, concerts, professional hockey and stage productions – these licenses should be used until they are deemed to be unnecessary and should be used correctly.

The fact that incorrect licenses and erroneous licensing fees have been treated as being acceptable reflects a poor management style and is a disservice to the public. An excellent example of how a lax attitude has significance, relates to various events held in Onondaga County facilities, as discussed in Finding #3 above.

Philip J. LaTessa City Auditor

May 19, 2010





City of Syracuse | Central Permit Office

Standard Operating Procedures Guide



Document Version History

| Version | Revision Date | Revision Description | Authors |
|---------|---------------|---|------------------------------|
| 1.0 | July 15, 2022 | An inaugural departmental standard operating procedure (SOP) guide was created to be placed in our quarterly document review queue for ongoing maintenance. | Mediha Salkic and Teri Bliss |

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Introduction

The **Central Permit Office (CPO)** operates as a division within the *Department of Neighborhood & Business Development* and *Code Enforcement*.¹ CPO offers a single location to request many different types of City approvals. The CPO provides information and processes applications in order to help residents and businesses alike improve and maintain their properties, use or improve projects in the City right-of-way, and license their business.

A complete list of application types processed by CPO and their objectives may be found here.

¹As set forth in Part C - Charter of the City of Syracuse - Article V - Chapter 18.

Contact Information

| Address | City Hall Commons (CHC) 1st + 2nd Floors 201 East Washington Street Syracuse, NY 13202 |
|---------|---|
| Phone | (315) 448-8600 |
| Fax | (315) 448-8615 |
| Email | Permits@svrgov.net ² |

²The general email account is monitored hourly, and all incoming mail must be categorized and responded to within the hour of receipt. Historical accounts (i.e. CentralPermitOffice@svrgov.net) have rules set up to automatically forward all email to the general account to avoid the need to maintain multiple email accounts.

Web Pages



- Main Page
- Periodic Inspections
- Before You Build Small Projects
- Planning for Commercial Development
- Apply for a Demolition Permit
- Disabled Parking Permits & Meter Waivers
- <u>Documents + Forms</u>

Staff Directory

| Name | Phone Number | Role | Supporting Operation | Location | Credentials & Certifications |
|---------------------|----------------|-----------------------------------|-----------------------|----------|--|
| Mediha Salkic | (315) 448-4730 | Director of Central Permit Office | Commercial Permitting | CHC - 1 | Code Enforcement Official³ Commissioner of Deeds⁴ |
| Sonva Little | (315) 448-8605 | Permit Technician | Front Office | CHC - 1 | |
| Paul Scott | (315) 448-7402 | Permit Technician | Front Office | CHC - 1 | |
| Vacant | (315) 448-8600 | Permit Technician | Front Office | CHC - 1 | |
| Chad Beckford | (315) 448-8605 | Senior Project Manager | Project Management | CHC - 2 | |
| Eli Niyihakuye | (315) 448-8600 | Senior Project Manager | Project Management | CHC - 2 | |
| <u>Teri Bliss</u> | (315) 448-8288 | Project Manager Float | Project Management | CHC - 1 | |
| Brian Thompson | (315) 448-8607 | Commercial Plans Examiner | Commercial Permitting | CHC - 2 | Code Enforcement OfficialCommissioner of Deeds |
| Bill McCann | (315) 448-8607 | Commercial Building Inspector | Commercial Permitting | CHC - 2 | Code EnforcementOfficial |
| Tom O'Mara | (315) 448-8779 | Commercial Electrical Inspector | Commercial Permitting | CHC - 2 | Code Enforcement OfficialMaster Electrical |
| <u>Gail Swistak</u> | (315) 448-8608 | Commercial Plans Examiner | Commercial Permitting | CHC - 2 | Code Enforcement OfficialCommissioner of Deeds |

³ Each Code Enforcement Official (CEO) is certified by New York State and for which in-service training requirements must be met annually as per 19 CRR-NY 1208-3.3.

⁴This must be renewed every (2) years in conjunction with the *Onondaga County Clerk's Office*. The Codes Board and Licensing Coordinator is responsible for facilitating renewals on behalf of each Commissioner., but is not responsible for keeping track of when renewals are due.

| Bill Bjorness | (315) 448-8699 | Commercial Building Inspector | Commercial Permitting | CHC - 2 | Code EnforcementOfficial |
|---------------------|----------------|---------------------------------|--|---------|---|
| Kevin McInernev | (315) 448-8674 | Commercial Electrical Inspector | Commercial Permitting | CHC - 2 | Code EnforcementOfficialMaster Electrical |
| Brian Fogarty | (315) 448-8418 | Fire Alarm Plans Examiner | Commercial Permitting | CHC - 2 | Code Enforcement OfficialCommissioner of Deeds |
| <u>Fred Farwell</u> | (315) 448-8686 | HVAC Inspector | Residential & Commercial Permitting | CHC - 2 | Code EnforcementOfficialMaster Mechanical |
| Brandy Fry | (315) 448-8645 | Residential Plans Examiner | Residential Permitting | CHC - 1 | Code EnforcementOfficialCommissioner of Deeds |
| Vacant | (315) 448-8600 | Residential Plans Examiner | Residential Permitting | CHC - 1 | |
| Pam Dalton | (315) 448-8253 | Licensing Coordinator | Licensing | CHC - 1 | Notary |
| Mava High | (315) 448-8258 | Periodic Inspection Coordinator | Periodics | CHC - 1 | |
| Maria Johnson | (315) 448-8728 | Administrative Aide | Periodics | CHC - 1 | |
| Bob Moore | (315) 448-4754 | Right-of-Way Coordinator | Right-of-Way | CHC - 1 | |

Organizational Chart

A copy of the Central Permit Office's organizational chart is included on the next page. Alternatively, it may be viewed using the following link.⁵

⁵Individual job specifications are linked within each employee's listed job title.

Operations

The following chart reflects individual tasks/responsibilities as they pertain to each function executed by CPO and their associated cadence.

| _ | T 16 | | | Buil | ding | | | B: 1. 6W |
|-----------|--|-----------------|-----------------------|---------------------------|--------------------------|--------------|--------------|--------------|
| Frequency | Task ⁶ | Front Office | Project Management | Residential Permitting | Commercial Permitting | Licensing | Periodics | Right-of-Way |
| Daily | Receive/process <u>applications</u>.⁷ | | | \checkmark | \checkmark | \checkmark | \checkmark | |
| | Answer constituent phonecalls. | \checkmark | | | | | \checkmark | |
| | Answer constituent emails. | | | | | | \checkmark | |
| | Meet with constituents. | | | | | | \checkmark | |
| | Issue permits. | | | | | | | |
| | Issue certificates. | | | | | | | |
| | Issue licenses. | | | | | \checkmark | | |
| | Receive and disseminatemail. | | | | | | | |
| | Scan documentation. | \checkmark | | | | | | |
| | • Conduct <u>Intake Meetings</u> . | | | | | | | |
| | • Conduct <u>Huddles</u> . | | | | \checkmark | | | |
| | Complete inspections. | | | | | | | |
| | Manage <u>projects</u> . | | \checkmark | | | | | |

⁶ Expectations for each role may be found <u>here</u> and are still undergoing development.

⁷Information about which applications get assigned to which City departments and reviewers can be found on the drive, but otherwise historical permits may be referenced.

| | Manage <u>Camino product</u> <u>roadmap.</u> | | \square | | | | |
|----------|--|--------------|--------------|--------------|--|--------------|--------------|
| Weekly | • Complete cash reports.8 | | | | | \checkmark | |
| | Follow up on permits that are ready for issue. | \checkmark | \square | | | | |
| | Send out weekly <u>list</u> of Street Cut Applications outstanding review. | | | | | | |
| | Send out Small Cell weekly progress report. | | | | | | |
| | • Complete FOIL request(s). | | \checkmark | \checkmark | | | \checkmark |
| | Meet with Digital Services to review progress on product roadmap. | | ☑ | | | | |
| | Conduct <u>Project Management</u> <u>Weeklv Retros.</u> | | | | | | |
| | • Conduct <u>ResidentialCheck-In</u> . | | | | | | |
| | • Conduct PM Float Check-In. | | \checkmark | | | | |
| Biweekly | • Conduct <u>Pre-Development</u> <u>Meetinas.</u> | | | | | | |
| | Meet with Destiny USA to review permitting requests. | | | | | | |
| | Rewrite Local Law. | | | | | | |
| Monthly | Complete monthly construction | \checkmark | | | | | |

⁸Cash reports are completed and stored on <u>S:\0 Operating Reports\Daily Codes - Permits</u> to which access must be requested by the Accounting Department.

| | valuation report. | | | | | |
|-----------|---|--------------|-----------|---|--|--|
| | Complete monthly electrical union report. | \square | | | | |
| | Complete monthly carpenter's union report. | \checkmark | | | | |
| | Send out Rental Registry - 60-Day Notices. | | | | | |
| | Review issued permits ingoPost to make sure they reflect 'Approved' status. | | | | | |
| | Meet with Camino to review ongoing work requests. | | | | | |
| | Meet with <u>Syracuse University</u> to review permitting requests. | | | | | |
| | Order supplies. | | | | | |
| Quarterly | Conduct Commercial Review Meeting. | | \square | | | |
| | Participate in Quarterly Wellness Check-In with ePlanSoft Client Success Manager. | | ✓ | | | |
| | Disseminate Quarterly Newsletter. | | \square | | | |
| | Update office documentation. | | | | | |
| Annually | Complete <u>in-service training</u> to maintain CEO status. | | | ✓ | | |
| | | | | | | |

Rules & Regulations

The Central Permit Office is responsible for the review of all construction plans submitted for a permit in the City of Syracuse. These plans are reviewed for compliance with *New York State* codes:⁹

- 2020 Building Code of New YorkState
- 2020 Residential Code of New York State of New York State
- 2020 Fire Code of New YorkState
- 2020 Energy Conservation Construction Code of New York State
- 2020 Existing Building Code of New York State
- 2020 Plumbing Code of New YorkState
- 2020 Mechanical Code of New YorkState
- 2020 Fuel Gas Code of New YorkState
- 2020 Property Maintenance Code of New York State

Staff is certified to review plans using the adopted Codes, NYS Energy Conservation Code, and, if referenced by the Code, NFPA, NEC, ANSI/ASHRAE/IES and others.

In addition to review for compliance with New York State codes referenced above, the Central Permit Office is also responsible for reviewing applications in consideration of the following regulations:

- Property Conservation Code of the City of Syracuse
- <u>Local Law No. 5 2011</u>
- Zoning Regulations
- Additional City Ordinances¹⁰

⁹Our office has a digital copy of all applicable New York State codes available on our (S:) drive.

¹⁰ If you are looking for specific information pertaining to an application, you may start by completing a general search of the code in the search bar.

Internal Stakeholders

This following is a complete list of internal (City of Syracuse) stakeholders:¹¹

| Stakeholder | Relationship | Location | Phone Number | Email |
|---|---|----------|----------------|----------------------------|
| Mayor's Office | Driving department for all City operations | CH - 2 | (315) 448-8005 | mayor@syrgov.net |
| Neighborhood & Business Development (NBD) | Parent department which drives our operations | CHC - 6 | (315) 448-8100 | nbd@syrgov.net |
| Code Enforcement | Parent divisional department which drives our operations and responsible for enforcing our reviews and approvals | CHC - 3 | (315) 448-8695 | codeenforcement@syrgov.net |
| Fire Prevention Bureau | Close partner in majority of all reviews and approvals | CHC - 2 | (315) 448-4777 | fireprevention@syrgov.net |
| Zoning | Close (County) partner in majority of all reviews and approvals | CHC - 5 | (315) 448-8640 | zoning@svrgov.net |
| Planning & Preservation | Driving (County) department for planning and impact of reviews and approvals | CHC - 5 | (315) 448-8160 | planning@syrgov.net |
| Public Works | Close partner in majority of all reviews and approvals, particularly as pertaining to improvements, maintenance and use of the right-of-way | PWB | (315) 448-2489 | cityline@syrgov.net |
| Engineering | Close partner in majority of all reviews and approvals, particularly as pertaining to improvements, maintenance and use of the right-of-way | CH - 4 | (315) 448-8200 | engineering@syrgov.net |

 $^{^{11}}$ The order of stakeholders listed is listed in order of importance.

| Water | Close partner in majority of all reviews and approvals, particularly as pertaining to improvements, maintenance and use of the right-of-way | WTR | (315) 473-2608 | wateroperations@syrgov.net |
|--|---|--------|----------------|----------------------------|
| Law Department | Handle all legal affairs for CPO and all other City departments | CH - 3 | (315) 448-8400 | law@syrgov.net |
| BAA | Make decisions about property code violations issued by Codes | CH - 3 | (315) 448-8320 | baa@syrgov.net |
| <u>Parks</u> | Partner in some reviews and approvals, particularly as pertaining to events and use of the right-of-way | PRKS | (315) 473-4330 | bfarmer@syrgov.net |
| <u>Police</u> | Partner in some reviews and approvals, particularly as pertaining to events and use of the right-of-way | SPD | (315) 448-5200 | rshoff@svracusepolice.org |
| Assessment | Oversee assessment for all City properties which inform our decision making and Code compliance frequently | CH - 1 | (315) 448-8270 | assessment@syrgov.net |
| <u>Finance</u> | Maintains and reports on all of our financial activity (cash reporting specifically) | CH - 1 | (315) 448-8330 | finance@syrgov.net |
| <u>Human Resources</u> | Handle all employment related needs and requests | CH - 3 | (315) 448-8780 | personnel@syrgov.net |
| Accountability, Performance and Innovation | Process and execute requests for special projects pertaining to performance and innovation | CH - 2 | (315) 448-8585 | ndiaz@syrgov.net |
| <u>Digital Services</u> | Facilitates digital change and transformation requests for our department | CH - 4 | N/A | kmay@syrgov.net |
| Communications | Handle the majority of our external | CH - 2 | (315) 448-8005 | communications@svrgov.net |

| | communication needs (including marketing materials) | | | |
|----------------|---|--------|----------------|----------------------|
| Budget | Handle the budget for our operations under the Codes budget | CH - 1 | (315) 448-8252 | budget@syrgov.net |
| City Clerk | Processes and maintains legislative requests and passed legislation | CH - 2 | (315) 448-8216 | bdriscoll@svrgov.net |
| Common Council | Local legislative body that votes on our legislative requests | CH - 3 | (315) 448-8466 | fscollo@svrgov.net |

External Stakeholders

This following is a complete list of external stakeholders:

| Stakeholders |
|---|
| Residents |
| Property Owners |
| Business Owners |
| Real Estate Developers |
| Design Professionals |
| Contractors |
| Neighborhood Organizations |
| Universities |
| Hospitals |
| Destiny USA |
| Syracuse Housing Authority |
| Svracuse Hancock International Airport |
| Downtown Committee |
| Greater Syracuse Land Bank |
| Svracuse Regional Board of Review |
| New York State Department of Building Codes and Standards |

Programs

| System | Purpos | Use Category | Notes |
|------------------|---|--|--|
| <u>Teams</u> | Various apps allow us to connect and chat quickly and conveniently through organized channels and engage in scheduled virtual appointments such as team huddles with coworkers and meetings with stakeholders | Communication (Internal + External) | Part of Office 365 |
| Office 365 | Send, receive, and manage emails as well as individual and group calendars | Communication (Internal + External) | Please note that all CPO staff have access to the Permits shared calendar in which all staff time in and out of office is documented and accessible. |
| <u>Mailchimp</u> | Manage and talk to your clients, customers, and other interested parties | Communication (External) | We use this to primarily manage our <u>contacts</u> , send out email campaigns and blasts and distribute our newsletter. |
| | Maintain and view all applications, permits, violations, parcel data and Zoning projects (circa 2015) | Permit Management | |
| <u>Camino</u> | Maintain newly-digitized applications and permits (circa 2019) | Permit Management | Camino is slated to replace IPS entirely by 2025. |
| Permit Discovery | Preview application and zoning requirements and associated fees as scoped by applicants prior to formal submission | Permit Management | This is a feature that exists in <i>Camino</i> . |
| County GIS | GIS | GIS | |
| goPost | View, manage and process plans and documents for review. | Plan Review | This is a temporary public portal for submission of plans and documents for review to be replaced by <i>Camino</i> . |
| <u>EPR</u> | View, assign, manage and review plans and documents associated with applications | Plan Review | |
| Clickup | Track permit review progress across various statuses within permit review cycle | Project Management | |

| <u>Asana</u> | Track individual and departmental tasks and projects | Project Management | We are using this for specific projects across the department that are not affiliated with specific applications. We do eventually need to transition specific application types from <i>Click-Up</i> to <i>Asana</i> . |
|---------------|--|--------------------------------|---|
| Google Drive | Create, store, access and share files that existing outside of the (S): drive | Documentation | |
| | Access historical records pre-dating IPS (2015) | Documentation | |
| | Access historical records pre-dating IPS (2014) | Documentation | Most recently, this often serves as a secondary tool for verifying ownership information, particularly for recently sold/acquired properties. |
| | Access universal and specific documentation and resources for various departmental needs | Documentation | We also have access to Finance's local drive in order to complete digital cash reporting (see page 14). |
| InvoiceCloud | Process and manage payments made via credit/debit card in person at CPO | Payment Processing | |
| <u>Stripe</u> | Process and manage online payments made via credit/debit card in Camino | Payment Processing | This will soon be replaced by <i>InvoiceCloud</i> in order to maintain minimal technology solutioning across departments and functions. |
| <u>Canva</u> | Create, share and print professional designs for marketing and communication purposes | Design | |
| <u>Metrix</u> | Access and maintain all City of Syracuse provided and/or required trainings | Training + Learning (State) | |
| <u>SLMS</u> | Access and maintain all New York State provided and/or required trainings | Training + Learning (State) | Annual in-Service training progress can be viewed via our departmental <u>tracker</u> . Otherwise, each CEO must maintain their course completion and hours using their individual SLMS account. |

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Appendix

| Main Document/Resource | Supporting Document |
|--|-------------------------------------|
| Fee Schedule | |
| Insurance Requirements Overview | |
| Digital Submission Guide | |
| Timesheet Form ¹² | |
| Request for Leave Form ¹³ | |
| City Deck Template & Branding Guidelines | Email Signature Template |
| Department Letterhead | |
| Civil Service Offer Letter ¹⁴ | |
| Non-Civil Service Offer Letter 15 | |
| Network User Transfer Form | |
| Onboarding Checklist | |
| City Policies | ADA Grievance Policy |
| | ADA Policy |
| | Affirmative Action Policy Statement |

¹² Timesheets are submitted to <u>Alissa Kennedy</u> via email to be stored and reviewed by the Director at the end of each pay period.

¹³ Requests for leave must be submitted to the Director via email for approval. Once signed and returned, the Director will update your time out of office in the department's shared calendar. Requests submitted without sufficient notice may be subject to denial.

¹⁴Ensure that all incoming employees are vaccinated in compliance with <u>Vaccination & Testing Policy</u>.

¹⁵Ensure that all incoming employees are vaccinated in compliance with <u>Vaccination & Testing Policy</u>.

| | Background Check Policy |
|-----------------------------|--------------------------------------|
| | City Lot 3 Parking Policy |
| | Code of Ethics |
| | Computer Use Policy |
| | <u>Fraud</u> |
| | Harassment in the Workplace Policy |
| | Holiday Schedule ¹⁶ |
| | Mobile Communications Devices Policy |
| | Mobile Technology Use Agreement |
| | Personal Cellular Phone Usage Policy |
| | Sexual Harassment Policy |
| | Social Media Policy |
| | Vehicle Use Policy |
| | Vaccination & Testing Policy |
| | Workplace Smoking Policy |
| CSEA Contract ¹⁷ | |
| | |

 $^{^{\}rm 16}$ The holiday schedule must be updated annually. $^{\rm 17}$ This contract only applies to CSEA members.

EXHIBIT #29

Camino

Caliva, Frank <fcaliva@syr.gov>

Thu 3/7/2024 5:30 PM

To:Madden, Kyle <KMadden@syr.gov>;Marion, Alexander <AMarion@syr.gov>
Cc:Dishaw, Jake <jdishaw@syr.gov>;McDaniel, Trevor <tmcdaniel@syr.gov>;Brandt, Jessica <jbrandt@syr.gov>;Grant, Trevor <tgrant@syr.gov>

Good Afternoon.

IT forwarded the request for Camino access and the team is working on the best and quickest way to meet the need. They were looking for a path to providing view-only permissions but have now confirmed that the system does not provide that option.

In order to expedite your need to review, Jessica Brandt has offered to provide a "guided tour" of the system and the data it contains. Trevor Grant has agreed to provide a raw data export of whatever records are accessible and of interest. Trevor can place this export in a protected environment that provides your team full access while isolating live records.

I hope this plan meets your approval. Please let me know if you need to discuss.

-FSC



Frank Caliva
Chief Administrative Officer
City of Syracuse | Officeof the Mayor

Office: 315.448.8018 www.syrgov.net www.syrgov.net

FEE: \$75.00 Location \$ 5.00 Certificate \$25.00 Per Game \$25.00 Per Jukebox LICENSE #
DATE ISSUED

APPLICATION FOR AN AMUSEMENT LOCATION & DEVICE

| Name of Location: | - |
|---|---|
| | Phone: |
| Home Address of Location Owner | |
| Is the Applicant a Corporation, Partnership, Association of their respective places of residence, phone numbers, titles | r Firm? if yes, list its principal officers with and date of birth: |
| | |
| Number of Games to be placed at this Location | |
| Number of Juke Boxes to be placed at this Location | |
| This is location within 200 feet of the lot of a public or priva | ate school, church or playground? |
| Operator Name | City of Syracuse License # |
| Operator's Business Name | |
| INDEMNIFICA | TION STATEMENT |
| officers and employees thereof from all claims, suits or act | indemnify and save harmless the City of Syracuse, its agents, cions of every name or description brought against the City, its injuries, including death or damages to property, received or sons arising out of the license issued herein. |
| (SIGNATURE OF APPLICANT) | (DATE) |
| PLEASE PRINT NAME) | (NOTARY) |

| | olice Department Approval |
|----------------------------|----------------------------|
| | olice Department Approval |
| Oalica Danautmant Annuaval | Police Department Approval |

Fee: \$250.00 year \$50.00 One Day



APPLICATION REQUIREMENTS –Application and fees must be submitted to:

Central Permit Office 201 East Washington Street, Room 101 • Syracuse, New York 13202 Phone # 315-448-8474 • <u>BusinessLicense@syrgov.net</u>

| What type of items will be sold: | | |
|---|--|------------------|
| Name of Applicant | | |
| Address | Phone: | |
| City/State/Zip | | |
| Date of Birth | | |
| Business Name | | |
| Business Address | | |
| City/State/Zip | | |
| Business Phone # | _ | |
| Is the Applicant a Corporation, Partnership, Association or Firm? _ | if yes, list its principal of | ficers |
| with their respective places of residence, phone numbers, titles a | | _ |
| New York State Tax Identification # | | |
| The undersigned, does hereb engage in the business of junk dealer without a yard, pursuant to | | |
| INDEMNIFICATION ST | TATEMENT | |
| The applicant, upon issuance of a license, herein agrees to indem officers and employees thereof from all claims, suits or actions of officers, employees or agents for or on account of bodily injuries sustained, or alleged to be sustained by any person or persons ari | every name or description brought agains, including death or damages to property | st the City, its |
| SIGNATURE OF APPLICANT | DATE | |
| PLEASE PRINT NAME | NOTARY | |

| Police Department | |
|----------------------|--------|
| Application Approved | Date |
| | |
| Fire Department | |
| Application Approved | Date |
| | |
| Zoning Department | |
| Application Approved | Dato |
| Application Approved | _ Date |
| | |
| | |
| | |
| | |
| | |
| | |
| | |

Approvals

FEE: \$35.00 ONE YEAR

PAID:

\$10.00 PER YEAR

DATE ISSUED

APPLICATION FOR BILL & SAMPLE DISTRIBUTION

LICENSE #

| BUSINESS NAME: | |
|--|---|
| The undersigned | |
| PLEASE P | RINT |
| Name of Applicant: | Date of Birth: |
| Home Address: | Home Phone: |
| Business Address: | Business Phone: |
| Is the Applicant a Corporation? | |
| If yes, list its principal officers with their respective places | of residence, phone numbers and titles: |
| | Date of Birth: |
| | |
| Is the applicant a Partnership, Association or Firm? If yes, please list any partners with addresses and date of bit | rth, or any assumed names. |
| INDEMNIFICATION The applicant, upon issuance of a license, herein agrees to i agents, officers and employees thereof from all claims, su against the City, its officers, employees or agents for ordamages to property, received or sustained, or alleged to the license issued herein. | ndemnify and save harmless the City of Syracuse, its or actions of every name or description brough on account of bodily injuries, including death on the sustained by any person or persons arising out of |
| (SIGNATURE OF APPLICANT) | (DATE) |
| (PLEASE PRINT NAME) | (NOTARY) |
| () | () |

City of Syracuse Department of Finance



Ground Transportation License Application City of Syracuse Form TA 107 (rev 04/2015)

| ADMINISTRATIVE USE ONLY LICENSE NUMBER : Original : | INSTRUCTIONS 1. ALL QUESTIONS must be answered and answered truthfully. Any questions left blank or containing false replies may result in the delay, denial or revocation of such license. THE SUBMISSION OF FALSE ANSWERS MAY CONSITUTE PERJURY 2. ALL APPLICANTS must submit a valid NYS Registration Document, valid Title Document and valid proof of For-Hire Insurance for the vehicle subject to this application. 3. ALL APPLICANTS must submit, if not already on file or required, certified copies of certificates of Partnership, Corporation or Association. 4. ALL APPLICANTS must submit, if not already on file or required, a certificate indicating operation under an assumed name (DBA). 5. The former Ground Transportation License and Medallion must be attached to this application if this application is for a request to TRANSFER a GTL. | | |
|---|--|--|--|
| APPLICANT PERSONAL INFORMATION Please Print | VEHICLE INFORMATION Please Print | | |
| PRINTED NAME (Last, First, Middle or Company) | Vehicle Year and Make | | |
| | | | |
| Address (Street and Apartment/Building No.) | Vehicle Model, Style, Color | | |
| City, State and Zip Code | Vehicle License Plate | | |
| Date of Birth Social Security Number Dri | ver's License Client ID # Vehicle Identification Number (VIN) | | |
| Telephone (HOME or BUSINESS) Telephone (CELL) | Taxi Company <i>or</i> Independant | | |
| State of New York County of Onondaga City of Syracuse I, the undersigned, hereby apply to the City of Syracuse for a Grou Syracuse and for that purpose I declare that, subject to penalties o application (including statements made in accompanying papers) h true and correct. I understand that any deliberate misrepresentatio the revocation of same if already issued. I also understand that all verification. | f perjury, any statements made on or in connection with this cave been examined by me and to the best of my knowledge are in or omission of facts may be cause for denial of such license or statements made in connection with this application are subject to | | |
| I, deposes and says that Transportation License and that the answers to any question or oth accurate to the best of my knowledge. | I am the individual making this application for a Ground er statement contained within, made by myself, is true and | | |
| Sworn or Affirmed to before me this | | | |
| day of, 20 | Signature of Applicant | | |
| Notary Public or Commissioner of Deeds | Page 1 | | |

Ground Transportation License ApplicationCity of Syracuse Form TA 107 (rev 04/2015)

City of Syracuse Department of Finance

Please answer Yes or No to the following questions. If the question asks for or if you need to provide additional details do so below in the Additional Information section.

Criminal history will be reviewed and considered in accordance with Article 23-A of the New York State Corrections Law.

| ADDITIONAL APPLICANT INFORMATION | | | | |
|--|---|--|--|--|
| 1. | Are certified copies of certificates of Partnership, Association or Corporation attached? | | | |
| 2. Yes No | Are the names, addresses, titles and telephone numbers of each officer and director of the Partnership, Association or Corporation clearly documented in the requested certified copies? If NO, same must be listed on a seperate paper and attached to this application. | | | |
| 3. Yes No | Are the names, addresses, titles and telephone numbers of each Stockholder or Partner of the Partnership, Corporation or Association clearly documented in the requested certified copies? If NO, same must be listed on a seperate paper and attached to this application. | | | |
| 4. Yes No | Has the applicant or any of the persons identified in application questions 1, 2 or 3 ever had a Taxicab Driver's or Ground Transportation License issued by the City of Syracuse suspended or revoked? If YES, provide details below. | | | |
| 5. Yes No | Has the applicant or any of the persons identified in application questions 1, 2 or 3 or any other person directly or indirectly interested in this application been CONVICTED of any crime involving violence, deceit, gambling or the illegal possession, use, distribution or sale of controlled substances pursuant to New York Penal Law Article 220 or the equivalent statute in any other jurisdiction? If YES, provide details below. | | | |
| 6. Yes No | Has the applicant or any other persons identified in application questions 1, 2 or 3 or any other person, directly or indirectly interested in this application been CONVICTED of a FELONY in New York State or any other jurisdiction within the last five (5) years from the submittal date of this application? If YES, provide details below. | | | |
| 7. Have all questions on this application been answered and has this application been signed and sworn to, or affirmed, in the presence of a Notary Public or Commissioner of Deeds? | | | | |
| ADDITIONAL INFORMATION | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| ADMINISTRATIVE USE ONLY | | | | |
| Application received b | y Licensing Application Approved/Disapproved | | | |
| Fee Paid. | Application returned to Licensing. | | | |
| Application received b | Application received by SPD Applicant notified | | | |
| Page 2 | | | | |

| ree | License # |
|---|-------------------------------------|
| Paid: | Date Issued |
| Application for Transient Retail Busine | |
| Return to : City of Syracuse License Commission Room | n 122 City Hall Syracuse NY 13202 |
| I herewith apply for a TRANSIENT RETAIL BUSINES pursuant to the revised General Ordinances of the City of | |
| Applicant Name: | Date of Birth |
| Home Address: | |
| Home Phone: | |
| Address where business will be conducted: | |
| Days & Hours of Operation: | |
| Duration of business enterprise: | (not longer than six months) |
| Is the applicant a Corporation? Yes No | |
| If a Corporation, please list principal officers by f | full name, title and date of birth. |
| | D.O.B |
| | $D \cap D$ |
| | |
| Is the applicant a partnership, association or firm; assumed name? Yes No | or conducts business under an |
| If yes, give name, address, and phone number of | assumed name or list partner(s): |
| | |

(OVER PLEASE)

| | - | |
|--|--|--|
| Signature of applicant | | Date |
| Please print name | | |
| | | |
| INDEMNIFICATION | STATEMENT | |
| The applicant upon the issuance of a license he harmless the City of Syracuse, its agents, office claims, suits or actions of every name or description officers, employees or agents for or on account damages to property, received or sustained, or or persons arising out of the license issued here granted to the applicant to vend at any public syractic property. | ers and employed ption brought ag t of bodily injuried alleged to be sustein or in any perr | es thereof from all gainst the City, its es, including death or stained by any person |
| Signature of applicant | Date | |
| | | |
| POLICE DEPARTMENT: APPLICATION APPROVED DENIED_ | _ | |
| | DATE:_ | |
| Chief of Police | | |

City of Syracuse
DIVISION OF NEIGHBORHOOD AND BUSINESS DEVELOPMENT
300 S. State St., 7th Floor
SYRACUSE, NY 13202

| Permit Number: 5.571 This notice, which must be prominently displayed on a | Date: 3/8/24 The property or premises to which it pertains, indicates the |
|--|--|
| POR | Posito Enc. |
| permitting INTERIOR DE | MO ONLY |
| - 251 WATER SHET | L TELE REVO E |
| applicable codes, laws, ordinances, description of any federal, state or local law, rule of reg | elow, are required oursig the authorized agent shall be respon- |
| | Life Walling |
| Sprinkler before closing | Plumbing before enclosing |
| Footing before pouring concrete | Heating, ventilation, air conditioning before enclosing |
| Foundation before backfill | Insulation before enclosing |
| Framing before enclosing | Final Inspection |
| hadeen enclosing | see stand specifications or statements now. |
| ☐ Elevator pranted to proceed with the wo | ork as set forth in the plans, specifications or statements now the original plans, specifications or statements must be subtencement of any work. |
| Permission has been g. Any amendments made of the committee of the committ | encement of any work |
| mitted to this division for approve | Jake Dishaw |
| | HE JAKO OT |
| THE PECTION CALL | Director of Codes |
| FOR INSPECTION CALL (315) 448-8695 | Director of Codes |

FIRE DEPARTMENT (315) 448-4777

CITY OF SYRACUSE LICENSE CERTIFICATE

The City of Syracuse, in consideration of the sum of \$25.00 the receipt of which is hereby acknowledged, grants a license to continue and hold good during the year of 2023 to

Robert Williams

Allowing him/her within the limits of the City of Syracuse to do business as

Junk Dealer No Yard Syracuse, NY

Subject to all the ordinance & regulations pertaining to this subject now or hereafter to be passed by the Common Council, a Committee of the same, and the regulations of the Police Department & Commissioner of Public

IN WITNESS WHEREOF, the Commissioner of Finance of the City of Syracuse has hereunto subscribed his name pursuant to the authority vested in him/her by the Charter of the City of Syracuse

(DATE EXPIRES) 12/31/2023

Mike Cannizzaro, Commissioner of Finance

Business Certificate of Use



License # CU2024-0059

Issued: 02/07/2024 Expiration Date: 2/7/2026

This Certificate of Use is granted to:

Baghdad Restaurant 484 S Salina St Syracuse, NY 13202

as described in Chapter 27 of the Revised General Ordinances of the City of Syracuse Article 12, the Property Conservation Code of the City of Syracuse. This Certificate of Use is not intended to grant any property right in the City right-of-way. This Certificate of Use must be renewed no later than sixty (60) days prior to its exergistion.

Non-transferable

Display where visible to public

EXHIBIT #33

Business Certificate of Use



License # CU2022-0011

Issued: 12/06/2022 Expiration Date: 12/06/2024

This Certificate of Use is granted to:

The Curd Nerd LLC 2800 James St Syracuse, NY 13206

as described in Chapter 27 of the Revised General Ordinances of the City of Syracuse Article 12, the Property Conservation Code of the City of Syracuse. This Certificate of Use is not intended to grant any property right in the City right-of-way.

This Certificate of Use must be renewed no loter than sixty (60) days grier to its expiration.

187

Non-transferable

Display where visible to public

COMMON COUNCIL of the CITY OF SYRACUSE

(06/22)

REGULAR MEETING – JUNE 22, 2020 1:00 P.M.

- Pledge of Allegiance to the Flag (Suspended during Webex meetings)
- 2. Invocation (A Moment of Silent Reflection was led by the Hon. Helen Hudson, President of the Syracuse Common Council)
- 3. Roll Call (All Present 9)
- 4. Minutes June 8, 2020 (Adopted 9-0)
- 5. Public Meeting "Relative to Agenda Item #21, "Authorize The DPW 2020/2021 Sweeping Program as detailed in Exhibit "A". Cost thereof to be charged to the premises fronting thereon as detailed in Exhibit "B". The Program is charged initially to account #09.00526. Total cost not to exceed \$1,091,296. (Public Hearing was held on Monday, June 22, 2020 at 1:00 P.M.)" (NO APPREANCES)
- 6. Petitions (none)
- 7. Committee Reports (none)
- 8. Communications (From the Hon. Pamela J. Hunter, NYS Assemblywoman, a letter acknowledging the receipt of Council Resolution 7-R (05/11/2020) calling for an expansion of the Bottle Bill)

NEW BUSINESS

BY PRESIDENT HUDSON:

 Resolution - Approving the Appointment of Various Persons as Commissioners of WD Deeds for 2020.

WD

BY COUNCILOR BEY:

10. Special Permit – To approve modification for a restaurant located at 700 North Salina Street. Four (4) people spoke in favor of the proposal. No one spoke in opposition to the proposal. The Planning Commission granted two (2) waivers in regard to signage and live and/or electronically amplified entertainment location regulations. Edward Withers/applicant. Louis Santaro/owner.

20. Resolution - For the establishment of a standard work day and reporting requirements for Common Councilors, City Clerk, and the Board of Assessment Review, as required 11-R by Regulation 315.4 of the NY Codes Rules and Regulations.

BY COUNCILOR GREENE:

- 21. Authorize The DPW 2020/2021 Sweeping Program as detailed in Exhibit "A". Cost thereof to be charged to the premises fronting thereon as detailed in Exhibit "B". The Program is charged initially to account #09.00526. Total cost not to exceed \$1,091,296. (Public Hearing was held on Monday, June 22, 2020 at 1:00 P.M.)
- Agreement With Syracuse Stage, for extended parking hours at the City-owned
 Madison Irving Garage during the stage seasonal shows, for the period of one year from July 1, 2020-June 30, 2021. Syracuse Stage will pay the City \$20,000 to cover the cost of extended hours.
- 23. Amend The Revised General Ordinances of the City of Syracuse, Chapter 5 entitled "Amusement Businesses and Public Assemblages for Entertainment Or Culture", #19 amend to rescind Article 4 entitled, "Bowling Alleys".
- 24. Amend The Revised General Ordinances of the City of Syracuse, Chapter 5, Article 1 entitled, "General Licensing Provisions", amend Section 5-1 entitled, "Licenses required for amusement businesses and other activities" and Section 5-6 entitled, "Licensing Fees" to strike out bowling alley, dance school, ice show, musical show, and theater or stage productions from the required license list and fee schedule.
- 25. Amend The Revised General Ordinances of the City of Syracuse, Chapter 14, entitled **GEN.** "Health and Sanitation", to rescind Article 3 entitled, "Milk and Milk Products". #21
- 26. Confirm The appointment of Corey Dunham to the Onondaga County Resource **9-0** Recovery Agency (OCRRA) Board of Directors for a term expiring December 31, 2021. **278**
- 27. Confirm The appointment of Stephanie Pasquale to the Onondaga County Resource **9-0** Recovery Agency (OCRRA) Board of Directors for a term expiring December 31, 2022. **279**
- 28. Purchase w/c/b From Grainger and Dival, safety shoes for the Departments of Public Works, Water, Fire, Police, Engineering, Parks, Sewers, Sweeping and Flushing and Codes, for the period of July 1, 2020 June 30, 2021. Total cost not to exceed \$88,125 to be charged to the appropriate account outlined in Schedule "A".
- 29. Purchase w/c/b From JGB and/or OMNI, hydraulic repair service and parts for various trucks, for the period of July 1, 2020 June 30, 2021, on behalf of D.P.W. Total cost not to exceed \$30,000 to be charged to Accounts #540210.01.51320 or 540220.01.51320.

ORDINANCE AMENDING CHAPTER 5, ARTICLE 1, ENTITLED GENERAL LICENSING PROVISIONS, OF THE REVISED GENERAL ORDINANCES OF THE CITY OF SYRACUSE, AS AMENDED

BE IT ORDAINED, that Section 5-1, Licenses Required for Amusement Businesses and other activities, of Chapter 5, Article 1, entitled General Licensing Provisions, of the Revised General Ordinances of the City of Syracuse, as amended, is hereby amended to read as follows:

Sec. 5-1. - Licenses required for amusement businesses and other activities.

No person, unless hereinafter exempted therefrom, shall engage in any of the following amusement business activities without first obtaining a license therefor in the manner provided in this chapter:

(a) The exhibition or maintenance of any:

Acrobatic performance;

Amusement center having coin-controlled devices, and the ownership or operation of such devices (amusement center games), as further provided in article 5 of this chapter;

Bingo, as further provided in article 7 of this chapter;

Circus, indoor or outdoor, as further provided in article 3 of this chapter;

Common showman;

Concert;

Curiosity, artificial or natural;

Dance (see "public dance" below);

Floor show:

Horsemanship, feats of;

Jukeboxes, as further provided in article 6 of this chapter;

Legerdemain, feats of;

Motion picture show;

Necromancy, feats of;

Opera performance;

Picture show;

Professional basketball or hockey;

Public dance, dancing or dancing school, as further provided in article 8 of this chapter;

Skating; or

Any other amusement for the public; and

(b) The opening or maintaining of any hall or rink for:

Dancing, as further provided in article 8 of this chapter;

Skating; or

Any other amusement for the public.

- (c) Open-air-cultural event sponsored by a nonprofit organization to display and/or sell paintings, works of art, jewelry, handicraft, etc. (Food vendors are not permitted to operate under said license and must comply with chapter 14, article 4, Food Vendors, herein.)
- (d) The commissioner of finance shall provide to a quarterly report, thirty (30) days after the preceding quarter, stating the number, location and type of new entertainment licenses granted by the city during the preceding quarter. In addition, the commissioner of finance shall file an annual report with the city clerk summarizing the year's activity concerning entertainment licenses.

; and

BE IT FURTHER ORDAINED, that Section 5-6, License Fees, of Chapter 5, Article 1, entitled General Licensing Provisions, of the Revised General Ordinances of the City of Syracuse, as amended, is hereby amended to read as follows:

- (a) The amount of the fee for a license under section 5-1 shall be fixed by the common council at such amount as it deems proper, not exceeding the sum of three hundred dollars (\$300.00) for a single exhibition or single opening of a hall or rink.
- (b) The fees to be charged for such licenses not otherwise fixed by law be and are hereby fixed in accordance with the schedule set forth below; provided, however, that in the cases of persons obtaining licenses which run through the year where the fee therefor is fixed on an annual basis, those hereafter designated may have the privilege of paying said annual fee in installments of fifty (50) percent of said license in January and the remaining fifty (50) percent of said license on July 1, viz.:

| Amusement center location | \$75.00 per year or fraction thereof for each center |
|--|---|
| Amusement center location, juke-box only | \$25.00 per year or fraction thereof for each center |
| Amusement devise (including juke-box) | \$25.00 per year or fraction thereof for each machine owned, payable in advance |
| Amusement operator's license | \$100.00 per year |
| Bingo | as provided in section 5-82 |
| Circus of over 75 railroad cars or other vehicles | \$300.00 per day |
| Circus of over 50 railroad cars or other vehicles | \$200.00 per day |
| Circus of less than 50 railroad cars or other vehicles | \$100.00 per day |
| Concerts not otherwise provided for | \$15.00 per day (24 hours) |
| Dance permits—one night | \$10.00 each |
| Dancing in restaurant and hotel dining rooms with seating capacity of over 250 | \$150.00 per year \$75.00 after July 1 |
| Dancing in restaurant and hotel dining rooms with seating capacity of 150 to 250 | \$125.00 per year \$62.50 after July 1 |
| Dancing in restaurant and hotel dining rooms with seating capacity of 75 to 150 | \$100.00 per year \$50.00 after July 1 |
| Dancing in restaurant and hotel dining rooms with seating capacity of less than 75 | \$75.00 per year \$37.50 after July 1 |
| Exhibition not otherwise provided for | \$55.00 per day (24 hours) |
| Floor show or entertainment in restaurant and hotel dining rooms with seating capacity of over 250 | \$300.00 per year \$75.00 after July 1 |

| Floor show or entertainment in restaurant and hotel | \$250.00 per year |
|---|----------------------------|
| dining rooms with seating capacity of 150 to 250 | \$125.00 after July 1 |
| Floor show or entertainment in restaurant and hotel | \$200.00 per year |
| dining rooms with seating capacity of 75 to 150 | \$100.00 after July 1 |
| Floor show or entertainment in restaurant and hotel | \$150.00 per year |
| dining rooms with seating capacity of less than 75 | \$75.00 after July 1 |
| Floor show or entertainment in restaurant and hotel dining rooms (one night only) | \$10.00 per night |
| Indoor circuses not otherwise provided for | \$25.00 per day (24 hours) |
| Motion picture shows with seating capacity over 1,400 | \$200.00 per year |
| Wotion picture shows with seating capacity over 1,400 | \$150.00 after July 1 |
| Motion picture shows with seating capacity of 1,200 to | \$110.00 per year |
| 1,400 | \$55.00 after July 1 |
| Motion picture shows with seating capacity of 1,000 to | \$85.00 per year |
| 1,200 | \$42.50 after July 1 |
| Motion picture shows with seating capacity of 800 to | \$60.00 per year |
| 1,000 | \$30.00 after July 1 |
| Motion picture shows with seating capacity of 600 to 800 | \$35.00 per year |
| motion presure shows with seating supusity of seat to sea | \$17.50 after July 1 |
| Motion picture shows with seating capacity of less than | \$50.00 per year |
| 600 | \$25.00 after July 1 |
| Open-air-cultural event (see section 5-1, paragraph (c)) | \$15.00 per day |
| Professional basketball or hockey | \$100.00 per year |
| 1 Tolessional pasiverpail of Hockey | \$25.00 per day (24 hours) |
| Pollor skating rink | \$150.00 per year |
| Roller skating rink | \$25.00 per month |

| Theaters | \$150.00 per year \$75.00 after July 1 |
|----------|---|
| | |

- (c) Theater or stage productions may be staged by a holder of a motion picture license in the theater licensed without extra license fee.
- (d) Any person exhibiting a circus or similar show within the limits of the city and paying a license fee therefor, as provided in this chapter, shall not be required to pay a fee for any permit for any parade upon the streets of the city incidental to such circus or similar show. In case such circus or similar show is not exhibited within the limits of the city and no license fee paid therefor to the city, then the person obtaining such permit for a parade upon the streets of the city shall pay, upon obtaining same, a fee therefor, the amount of which shall be fixed by the common council. Such permit shall be signed and issued by the city clerk and signed by the mayor.
- (e) No person shall be required to pay in excess of one hundred fifty dollars (\$150.00) for licenses during any calendar year for concerts not otherwise provided for, or for theater or stage productions not otherwise provided for, or for dance permits—one night, regardless of the number of such daily activities engaged in by such person.

; and

BE IT FURTHER ORDAINED, that this Ordinance is effective as of July 1, 2020; and

BE IT FURTHER ORDAINED, that all remaining sections of Chapter 5, Article 1, entitled General Licensing Provisions, of the Revised General Ordinances of the City of Syracuse, as amended, not expressly affected by this Ordinance shall remain in full force and effect.



Council Office: (315) 448-8466 Fax: (315) 448-8423

CITY OF SYRACUSE COMMON COUNCIL

MICHAEL GREENE Councilor-at-Large

June 8, 2020

Mr. John Copanas City Clerk 231 City Hall Syracuse, NY 13202

Re: Request for Legislation

Dear Mr. Copanas,

Please prepare legislation for the regular Common Council meeting on June 22, 2020 to amend the Revised General Ordinances. In Chapter 5 Article 1(General Licensing Provisions) section 5-1 and section 5-6, please amend to strike out bowling alley, dance school, ice show, musical show, and theater or stage productions from the required license list in section 5-1 and fee schedule in section 5-6.

Sincerely,

K

Michael Course

Michael Greene Councilor at-Large

#36 23-65

LICENSE #: FEE: \$10.00 PER YEAR (6 LANES OR LESS) DATE ISSUED: \$1.00 PER ADDITIONAL LANE NUMBER OF LANES: 24 24 APPLICATION FOR BOWLING ALLEY LICENSE PAID: \$28.00 BUSINESS NAME: Apex Entertainment DM Syracuse LLC The undersigned Robert A. Walker, does hereby apply to the License Commissioner of the City of Syracuse, State of New York, for a Bowling Alley License, pursuant to the General Ordinances of the City of Syracuse. PLEASE PRINT Name of Applicant: Robert A. Walker Date of Birth: Home Phone: Home Address: Business Phone: **Business Address** Is the applicant a Corporation? _____LC If yes, list its principal officers with their respective places residence, phone numbers and titles: ____Date of Birth _____ Date of Birth Is the applicant a Partnership, Association or Firm? LLC Conducting business under an assumed name? If yes to either question, please list any partners with addresses and date of birth, or any assume names. Date of Birth: Name of Bowling Alley Manager: Mark Murry Phone: Manager Address: INDEMNIFICATION STATEMENT The applicant, upon issuance of a license, herein agrees to indemnify and save harmless the City of Syracuse, its

agents, officers and employees thereof from all claims, suits or actions of every name or description brought against the City, its officers, employees or agents for or on account of bodily injuries, including death or

damages to property, received or sustained, or alleged to be sustained by any person or persons arising out of

(PLEASE PRINT NAME)

(NOTARY)



| FEE: (1). () | LICENSE #: | | | |
|--------------|--------------|---|-----|-----|
| PAID: | DATE ISSUED: | 0 | 110 | 123 |

APPLICATION FOR DANCE * FLOOR SHOW * ENTERTAINMENT

| APPLICATION FOR | DANCE * FLOOR SHOW * ENTERTAINMENT |
|---|--|
| BUSINESS NAME: | ea and Bnill |
| DBA | |
| The undersioned | deed hereby emply to the License |
| The undersigned | does hereby apply to the License |
| | te of New York, for a license to engage in the business of Dance |
| * Floor Show * Entertainment License, pr | ursuant to the General Ordinances of the City of Syracuse. |
| Name of applicant: Salay M | PLEASE PRINT OUTMOOL Date of Birth: |
| Home Address: | Home Phone: |
| Business Addres | Business Phone |
| State the exact nature of the activity year | seek to have incensed. Live School |
| | 202 400 |
| If licensed by A.B.C. Board, provide licens | ie#: 2238171 |
| | 70 900 10 |
| | will prevent the application process. If applicant is a partnership or on as to all partners or officers of the corporation. Use back if needed. |
| 7 7 7 | |
| Name: | Address: |
| Name: | Address: |
| | INDEMNIFICATION STATEMENT |
| The applicant, upon issuance of this licen | se, herein agrees to indemnify and save harmless the City of |
| | rees thereof from all claims, suits or actions of every name or |
| | officers, employees or agents for or on account of bodily injuries, |
| description brought against the City, its o | filters, employees or agents for or on account of bodily injuries, |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| (NOTARY) | |
| | |
| Fees based on license(s) issued and seating | ng capacity, as determined by the Syracuse Fire Department. |
| Seating Capacity: | |
| | |
| Entertainment Fees | |
| 250 or greater \$300.00 | |
| 150- 250 seats 250.000 | |
| 75 – 149 seats \$200.00 | |
| 75 or under \$ 75.00 | |
| One Night Only \$ 10.00 | |

CITY OF SYRACUSE LICENSE CERTIFICATE

The City of Syracuse, grants a license to continue and hold good during the year of 2023 to

JD Pizza and Grill

Allowing him/her within the limits of the City of Syracuse to do business as

Dance*Floor Show*Entertainment 153 Ainsley Dr. Syracuse, NY 13210

Subject to all the ordinance & regulations pertaining to this subject now or hereafter to be passed by the Common Council, a Committee of the same, and the regulations of the Police Department & Commissioner of Public Works.

IN WITNESS WHEREOF, the Commissioner of Finance of the City of Syracuse has hereunto subscribed his name pursuant to the authority vested in him/her by the Charter of the City of Syracuse.

(DATE EXPIRES)12/31/2023

Mike Cannizzaro Commissioner of Finance

- (a) The amount of the fee for a license under section 5-1 shall be fixed by the common council at such amount as it deems proper, not exceeding the sum of three hundred dollars (\$300.00) for a single exhibition or single opening of a hall or rink.
- (b) The fees to be charged for such licenses not otherwise fixed by law be and are hereby fixed in accordance with the schedule set forth below; provided, however, that in the cases of persons obtaining licenses which run through the year where the fee therefor is fixed on an annual basis, those hereafter designated may have the privilege of paying said annual fee in installments of fifty (50) percent of said license in January and the remaining fifty (50) percent of said license on July 1, viz.:

| Amusement center location | \$75.00 per year or fraction thereof for each center |
|--|---|
| Amusement center location, juke-box only | \$25.00 per year or fraction thereof for each center |
| Amusement devise (including juke-box) | \$25.00 per year or fraction thereof for each machine owned, payable in advance |
| Amusement operator's license | \$100.00 per year |

| Bingo | as provided in <u>section 5-82</u> |
|--|---|
| Circus of over 75 railroad cars or other vehicles | \$300.00 per day |
| Circus of over 50 railroad cars or other vehicles | \$200.00 per day |
| Circus of less than 50 railroad cars or other vehicles | \$100.00 per day |
| Concerts not otherwise provided for | \$15.00 per day (24 hours) |
| Dance permits—one night | \$10.00 each |
| Dancing in restaurant and hotel dining rooms with seating capacity of over 250 | \$150.00 per year \$75.00 after July 1 |
| Dancing in restaurant and hotel dining rooms with seating capacity of 150 to 250 | \$125.00 per year \$62.50 after July 1 |

| Dancing in restaurant and hotel dining rooms with seating capacity of 75 to 150 | \$100.00 per year \$50.00 after July 1 |
|--|--|
| Dancing in restaurant and hotel dining rooms with seating capacity of less than 75 | \$75.00 per year \$37.50 after July 1 |
| Exhibition not otherwise provided for | \$55.00 per day (24 hours) |
| Floor show or entertainment in restaurant and hotel dining rooms with seating capacity of over 250 | \$300.00 per year \$75.00 after July 1 |
| Floor show or entertainment in restaurant and hotel dining rooms with seating capacity of 150 to 250 | \$250.00 per year \$125.00 after July 1 |

| Floor show or entertainment in restaurant and hotel dining rooms with seating capacity of 75 to 150 | \$200.00 per year \$100.00 after July 1 |
|--|--|
| Floor show or entertainment in restaurant and hotel dining rooms with seating capacity of less than 75 | \$150.00 per year \$75.00 after July 1 |
| Floor show or entertainment in restaurant and hotel dining rooms (one night only) | \$10.00 per night |
| Indoor circuses not otherwise provided for | \$25.00 per day (24 hours) |
| Motion picture shows with seating capacity over 1,400 | \$200.00 per year \$150.00 after July 1 |
| Motion picture shows with seating capacity of 1,200 to 1,400 | \$110.00 per year \$55.00 after July 1 |

| Motion picture shows with seating capacity of 1,000 to 1,200 | \$85.00 per year \$42.50 after July 1 |
|--|---|
| Motion picture shows with seating capacity of 800 to 1,000 | \$60.00 per year \$30.00 after July 1 |
| Motion picture shows with seating capacity of 600 to 800 | \$35.00 per year \$17.50 after July 1 |
| Motion picture shows with seating capacity of less than 600 | \$50.00 per year \$25.00 after July 1 |
| Open-air-cultural event (see section 5-1, paragraph (c)) | \$15.00 per day |
| Professional basketball or hockey | \$100.00 per year \$25.00 per day (24 hours) |
| Roller skating rink | \$150.00 per year \$25.00 per month |

| Theaters | \$150.00 per year |
|----------|----------------------|
| | \$75.00 after July 1 |

- (c) Theater or stage productions may be staged by a holder of a motion picture license in the theater licensed without extra license fee.
- (d) Any person exhibiting a circus or similar show within the limits of the city and paying a license fee therefor, as provided in this chapter, shall not be required to pay a fee for any permit for any parade upon the streets of the city incidental to such circus or similar show. In case such circus or similar show is not exhibited within the limits of the city and no license fee paid therefor to the city, then the person obtaining such permit for a parade upon the streets of the city shall pay, upon obtaining same, a fee therefor, the amount of which shall be fixed by the common council. Such permit shall be signed and issued by the city clerk and signed by the mayor.
- (e) No person shall be required to pay in excess of one hundred fifty dollars (\$150.00) for licenses during any calendar year for concerts not otherwise provided for, or for theater or stage productions not otherwise provided for, or for dance permits—one night, regardless of the number of such daily activities engaged in by such person.

(Ord. of 12-24-62, § 1; Ord. of 6-8-64; Gen. Ord. No. 17-1985, § 4-15-85; Gen. Ord. No. 52-1987, 12-28-87; Gen. Ord. No. 51-1988, 12-12-88; Gen. Ord. No. 42-1992, 12-21-92; Gen. Ord. No. 5-1993, 1-11-93; Gen Ord. No. 20-2020, 6-22-20)

January 2023

Dear Business Owner:

Our records indicate that you may need to apply and/or renew your Entertainment for 2023. Please complete the enclosed application and return it as soon as possible, as the application renewal procedure may take up to 6 weeks.

Instructions:

- Complete application form, making sure application is notarized.
- The annual fee for an Entertainment is based on occupancy; please see application, payable to the Commissioner of Finance. Payment of the fees shall be due upon application for the license. Forms of payment accepted are Check or Money Order.
- After application is submitted, before said license is issued, the applicant shall schedule an inspection with the Syracuse Fire Departments Fire Prevention Bureau. It is your responsibility to call the Fire Prevention Bureau at 315-448-4777 to schedule this inspection.
 - In order to streamline the inspection please have the following information available for the inspector
 - A Copy of the most recent sprinkler inspection (if your building in so equipped)
 - A copy of the most recent smoke detector and/or fire alarm certification (if your building is so equipped)
 - Make sure all exit signs and emergency lighting devices are function properly.

Please feel free to call me at 315-448-8474 with any questions or concerns.

Send your completed application and license fee to: CPO-City Hall Commons Licensing 201 E Washington St, Room 101 Syracuse, NY 13202

| Ground Transportation License (GTL) Inspection Report Syracuse Police Ground Transportation Licensing | | | | | |
|---|--------------------------------|--|--|--|--|
| SPD GTL Form 1.0 (rev. 03/23/2019) | ortation Licensing | Issued | | | |
| Original Issue GTL Renewal | GTL Transfer O | Equipment Modif | fication * Other * | | |
| * Describe : | | | | | |
| | | | , , | | |
| Licensee: | SR: Name of | inspector: | 9/12/25 Date of Inspection: | | |
| | | | | | |
| Vehicle Owner: | Name of | follow-up Inspector: | Date of follow-up Inspection: | | |
| Address | | | | | |
| Address: | | | 19/20/02 | | |
| Vehide Make: | Registrat | ion Plate #: | Registration Expiration: | | |
| yerree Merce. | 851 | 1978 | | | |
| VIN #: | | n Certificate #: | Nov 2093 Inspection Expiration: | | |
| · · | | | | | |
| Yes No Mechanically fit. | Yes No | Safety Shield Installed *Safety Shield Not Mar | | | |
| Yes No Four (4) functional doors. | Yes No | Amber distress light(s |) installed and functional. | | |
| Yes No Rear-View mirrors (2). Yes No Fenders/Mud guards. | Yes No | NYS Inspection Certifi | icate number matches the | | |
| Yes No Safety glass | | inspection record from | DMV NYSPIN. | | |
| Glass in windows and doors shall be in good condition with regard to air bubbles, cracks and fractures. | , | Each taxicab shall be equip light at least six (6) inches l | ated roof light installed. pped with a securely fastened roof high, four (4) inches wide and twelve | | |
| Yes No Functional windshield wipers. | | (12) inches long. In working | | | |
| Yes No Functional interior light. Yes No Functional heater/AC. | | | on-transparent tint) are in on 375.12 of the NYS Vehicle 1%. | | |
| Yes No Working speedometer. | | | nce with Section 25-64 | | |
| Yes Do Upholstery. Upholstery shall be clean, odor free with no stains or other defects making same unpresentable. Same will be free of holes and secured in place within the vehicle. | Yes No | (Advertisements) of Ci Full name of Licensee | | | |
| Yes No Floor mats (see Upholstery). | | | I as the GTL license number both vehicle front doors. | | |
| Yes No Exterior finish. The exterior of the vehicle must be well painted and the | Yes No | | or LIC. # (with GTL number) | | |
| finish in good condition. No significant rust or damage. Yes No Accessible Manifest documentation present. | | | ers shall be permanently ocated conspicuously upon the s at least two and one half (2 | | |
| Yes No A Street Guide or GPS equivalent accessible. | | 1/2) inches in height. | | | |
| | Yes No I | Lettering is of correct s | size of at least 2.5"? | | |
| le at the time of Inspection | Approved [By: S. C. Comments: | Denied | pate: $\frac{1}{2}$ | | |
| Vehicle | | | | | |



Ground Transportation License (GTL) Inspection Report Syracuse Police Ground Transportation Licensing SPD GTL Form 1.0 (rev. 06/01/2018)

GTL# 231 15

Seal # 590349

Date Sealed Phyliously Seeled

| | | TAXIMET | ER C | ERTIFICATION | | |
|--|---|---|--|---|--|--|
| Type of Taximet | ter | | Tire inflation | | | |
| (6) Centrodyne | Model S | ilent 610 | Yes No All four tires are inflated at least to the minimum | | | |
| Pulsar Technology Model | | | | Yes No All four tires are inflated at least to the minimum specifications of the vehicle manufacturer? | | |
| Other | Model | | | FRONT SPEC psi: 30 PSI SPEC psi: 30 PSI | | |
| Yes No Yes No Yes No | form of cash, c American Expr Master Card D The Taximeter passenger with itemized accou information as (2016), Section The Taximeter it's indicators a easily read by the vehicle. | is capable of providing the a printed receipt showing a int of charges and consume identified in NIST Handbook | Time Test (Time ON) The Taxi shall be parked and the Taximeter shall be placed in the TIME ON function with the initial drop of \$2.80. This test should consist of <u>four</u> (4) separate intervals with the time being recorded at each \$0.20 fare increment. The average of these tests should be the final time interval. The time interval should be 36 seconds. Accepted tolerance is 35.00 to 37.00 seconds. Yes No Taximeter correctly calculated a Fare Increment of \$0.20 at 36.00 seconds, within tolerance of 35.00 to 37.00 seconds. | | | |
| Centro | permanently affixinterior of the veh passengers at all gures reflect the m | d Taxicab Driver's License shall be ed in a conspicuous place within th icle so as to be readable by all times. aximum rates allowed; can be lo | Average Time 36.0 Calibration of speed signal pulses (if necessary) Pulses at time of test Adjusted to (if necessary) | | | |
| Item Descrip | tion Rate | Item Description | Rate | | | |
| 1 Initial Drop | \$2.80 | 1 Initial Drop | \$2.80 | | | |
| 2 Drop Distar | nce .063 | 2 Fare Increment | \$0.20 | Road Test (Time OFF) | | |
| 3 Distance R | ate \$3.20 | 3 Extra's Increment | \$0.50 | The road test shall be conducted over a measured course. The Taximeter shall be placed in the TIME OFF function with | | |
| 4 Time Rate | \$20.00 | 4 Drop Distance * | | the Initial Drop of \$2.80 displayed. The vehicle shall be | | |
| 5 Fare Incren | nent \$0.20 | 5 2nd Distance ** | | driven one-mile and at the conclusion, the fare should read | | |
| 6 Extra's Incr | ement \$0.50 | 6 Time Rate | \$20.00 | \$6.00. The vehicle shall continue for a second mile at the | | |
| 7 Maximum E | Extras | 7 Maximum Extras | | conclusion of which the fare should read \$9.20. (Initial \$2.80 | | |
| Yes No | The Taximet correctly and by the City o | "/" Will depend on the pulses re the unit. Either way, #4 and #5 si same number. er Rates of Fare are program in compliance with those esf Syracuse. | + \$3.20 = \$6.00 + \$3.20 = \$9.20.) Accepted tolerance shall be the distance of one average sized car length (17 to 20 feet). Yes No Taximeter correctly calculated a fare of \$6.00 at the one-mile mark within tolerance? Yes No Taximeter correctly calculated a fare of \$9.20 at the two-mile mark within tolerance? | | | |
| Vehicle tire siz Yes ☐ No Front Spec | Are the vehic size recomm Document a | cle tires, at the start of the te lended by the vehicle manuf ctual size only if different. | Previously certified and sealed by SPD Licensing. Approved Denied By: Show Goy Date: 0 (12)23 | | | |

Ground Transportation License Application

City of Syracuse Form TA 107 (rev 04/2015)

City of Syracuse Department of Finance



| ADMINISTRATIVE USE ONLY |
|--------------------------------|
| LICENSE NUMBER: 257 015 |
| Original: Issued: Expires: |
| Approved : |
| Denied: by: |

INSTRUCTIONS

- ALL QUESTIONS must be answered and answered truthfully.
 Any questions left blank or containing false replies may result in the delay, denial or revocation of such license.
 THE SUBMISSION OF FALSE ANSWERS MAY CONSITUTE PERJURY
- ALL APPLICANTS must submit a valid NYS Registration
 Document, valid Title Document and valid proof of For-Hire
 Insurance for the vehicle subject to this application.
- ALL APPLICANTS must submit, if not already on file or required, certified copies of certificates of Partnership, Corporation or Association.
- ALL APPLICANTS must submit, if not already on file or required, a certificate indicating operation under an assumed name (DBA).
- The former Ground Transportation License and Medallion must be attached to this application if this application is for a request to TRANSFER a GTL.

| Δ | PP | I IC | AA: | JT | PF | RSC | IAM | INFO | RMATION | J |
|---|----|------|-----|----|----|-----|-----|------|---------|---|
| | | | | | | | | | | |

Please Print

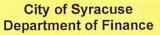
VEHICLE INFORMATION

Please Print

State of New York County of Onondaga City of Syracuse

I, the undersigned, hereby apply to the City of Syracuse for a Ground Transportation License to operate a Taxicab in the City of Syracuse and for that purpose I declare that, subject to penalties of perjury, any statements made on or in connection with this application (including statements made in accompanying papers) have been examined by me and to the best of my knowledge are true and correct. I understand that any deliberate misrepresentation or omission of facts may be cause for denial of such license or the revocation of same if already issued. I also understand that all statements made in connection with this application are subject to verification.

Ground Transportation License Application City of Syracuse Form TA 107 (rev 04/2015)





Please answer Yes or No to the following questions. If the question asks for or if you need to provide additional details do so below in the <u>Additional Information</u> section.

Criminal history will be reviewed and considered in accordance with Article 23-A of the New York State Corrections Law.

| ADDITIONAL APPLI | CANT INFORMATION | | | | | | |
|-------------------------|---|--|--|--|--|--|--|
| 1. Yes No | Are certified copies of certificates of Partnership, Association or Corporation attached? | | | | | | |
| 2. Yes No | Are the names, addresses, titles and telephone numbers of each officer and director of the Partnership, Association or Corporation clearly documented in the requested certified copies? If NO, same must be listed on a seperate paper and attached to this application. | | | | | | |
| 3. Yes No | Are the names, addresses, titles and telephone numbers of each Stockholder or Partner of the Partnership, Corporation or Association clearly documented in the requested certified copies? If NO, same must be listed on a seperate paper and attached to this application. | | | | | | |
| 4. Yes No | Has the applicant or any of the persons identified in application questions 1, 2 or 3 ever had a Taxicab Driver's or Ground Transportation License issued by the City of Syracuse suspended or revoked? If YES, provide details below. | | | | | | |
| 5. Yes No | Has the applicant or any of the persons identified in application questions 1, 2 or 3 or any other person directly or indirectly interested in this application been CONVICTED of any crime involving violence, deceit, gambling or the illegal possession, use, distribution or sale of controlled substances pursuant to New York Penal Law Article 220 or the equivalent statute in any other jurisdiction? If YES, provide details below. | | | | | | |
| 6. Yes No | Has the applicant or any other persons identified in application questions 1, 2 or 3 or any other person, directly or indirectly interested in this application been CONVICTED of a FELONY in New York State or any other jurisdiction within the last five (5) years from the submittal date of this application? If YES, provide details below. | | | | | | |
| | ns on this application been answered and has this application been Yes No n to, or affirmed, in the presence of a Notary Public or Commissioner of | | | | | | |
| ADDITIONAL INFO | RMATION | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| ADMINISTRATIVE L | JSE ONLY | | | | | | |
| Application received by | Licensing JUIV 1 23 Application Approved/Disapproved. 9 12 23 | | | | | | |
| Fee Paid. | Application returned to Licensing. | | | | | | |
| Application received by | pplication received by SPD. $\frac{S. Rus c_{tot}}{}$ Applicant notified. | | | | | | |

(Cornne) Stit Dut 10131123

Taximeter Certification on back of form.

| Ground Transportation License (GTL Syracuse Police Ground Transportat SPD GTL Form 1.0 (rev. 03/23/2019) | Inspection Report ion Licensing | GTL# | 023 |
|---|-------------------------------------|---|--|
| Original Issue | Transfer | oment Modifica | tion * Other * |
| * Describe : | | | |
| Licensee : | S. Kib Name of Inspec | S 904 | 9/(5/23 Date of Inspection: |
| Vehicle Owner: | Name of follow- | -up Inspector: | Date of follow-up Inspection: |
| Address: | | | V136/2U Registration Expiration: |
| Vehicle Make: VIN #: | C6 274 | | Aug 2024 Inspection expiration: |
| Yes No Mechanically fit. | | ty Shield Installed. * | led. |
| Yes No Four (4) functional doors. | | | stalled and functional. |
| Yes No Rear-View mirrors (2). | 2 - | | |
| Yes No Fenders/Mud guards. | | Inspection Certificat ection record from DI | e number matches the MV NYSPIN. |
| Yes No Safety glass Glass in windows and doors shall be in good condition with regard to air bubbles, cracks and fractures. | Each t | axicab shall be equipped t least six (6) inches high | d roof light installed. I with a securely fastened roof I, four (4) inches wide and twelve |
| Yes No Functional windshield wipers. Yes No Functional interior light. | — | ches long. In working or | ACC |
| Yes No Functional heater/AC. | comp | | transparent tint) are in 375.12 of the NYS Vehicle |
| Yes No Working speedometer. | | | e with Section 25-64 |
| Yes No Upholstery. Upholstery shall be clean, odor free with no stains or other defects making same unpresentable. Same will be free of holes and secured in place within the vehicle. | Yes No Full r | ertisements) of City (name of Licensee on | both front doors. |
| Yes No Floor mats (see Upholstery). | | | s the GTL license number th vehicle front doors. |
| Yes No Exterior finish. The exterior of the vehicle must be well painted and the | | word LICENSE # or played on the rear to | LIC. # (with GTL number) runk. |
| finish in good condition. No significant rust or damage. Yes No Accessible Manifest documentation present. | painte vehicle | | shall be permanently ted conspicuously upon the least two and one half (2 |
| Yes No A Street Guide or GPS equivalent accessible. | ۸4 — | ring is of correct size | e of at least 2.5"? |
| ection | Yes No Color | of lettering contrast | s with the color of vehicle? |
| of Inspection | M Approved D | Donied | |
| time | By: S. Cios | 904 | Date: 9/15/23 |
| le at the | Comments: | | |
| Vehicle | | | |



Ground Transportation License (GTL) Inspection Report Syracuse Police Ground Transportation Licensing SPD GTL Form 1.0 (rev. 06/01/2018)

| V. | NEW YORK | | | | | | | | | |
|--------------|-----------------|-----------------------|-------------|-------------|--|------------|---|-------------------|---|---------------------|
| GTL | # 0 | 23 | | | Seal# | SPD | 908 | Date Sealed | Pren | ionaly |
| | | | | | TAXIME: | TER CE | ERTIFICATIO | N | | J |
| Type | of Taximete | <u>er</u> | | | | | Tire inflation | | | |
| () C | entrodyne | Мо | del S | iler | +610 | | X Von I No All | four tires are | inflated at least to | the minimum |
| O Pi | ulsar Technolo | | 8.5 | | | | Yes No All | ecifications of | inflated at least to the vehicle manu | facturer? |
| 0 | | | del | | | | FRONT 7/2 | REAR | 31 | |
| \bigcirc 0 | ther | IVIO | dei | | <u></u> | | SPEC psi: 3 4 | SPEC ps | i: 04 | - |
| V Y | | | | | e to accept payment rd (VISA, Master Ca | | Time Test (Time O | <u>(N)</u> | | |
| | | | n Expre | ess) or | signature based VIS | | The Taxi shall be pa | | | |
| M Y | | | | | ble of providing the | | in the TIME ON fun test should consist | | | |
| . لكي | | passeng | er with | a print | ed receipt showing | an | being recorded at e | each \$0.20 fa | re increment. | |
| | | informati | on as i | dentifie | arges and consume ed in NIST Handboo | | of these tests shoul | 2- 14-25° | V2 00 W/70 D29 | |
| | | (2016), S | Section | S.1.9. | | | The time interval should seconds. | be 36 seconds. | Accepted tolerance | e is 35.00 to 37.00 |
| X Y | | | | | ioned and illuminate ational markings ca | | Yes No T | avimeter corr | ectly calculated a | Fare Increment |
| | | easily rea | ad by a | | nger in the back sea | | 7 0 | f \$0.20 at 36.0 | 00 seconds, withir | tolerance of |
| _ | _ | the vehic | de. | | | | 3. | 5.00 to 37.00 | seconds. | |
| YY | | Both the are prope | | | nd Taxicab Driver's | License | Time Intervals (Tin | ne ON) | | |
| | | The Rate C | Card and | Taxicab | Driver's License shall be | | | 5.97 | 36.00 | 21 |
| | | interior of t | the vehic | ele so as | nspicuous place within ti to be readable by all | he | , , | | 26.00 | 36.00 |
| | , | passenger | s at all ti | mes. | | | Average Time 3 | 6,12 | | |
| Rates | of Fare Figu | res reflect | t the ma | ximum r | rates allowed; can be le | ower.) | Calibration of spec | ed signal pu | ulses (if neces | sary) |
| | Centrod | lyne | | 自書 | Pulsar Technol | ogy | Pulses at time of tes | st Adjuste | d to (if necessary) | 1 |
| <u>Item</u> | Descriptio | n <u>F</u> | Rate | <u>Item</u> | Description | Rate | | | | |
| 1 | Initial Drop | \$ | 2.80 | 1 | Initial Drop | \$2.80 | | | | _ |
| 2 | Drop Distance | е . | 063 | 2 | Fare Increment | \$0.20 | Road Test (Time C | OFF) | | |
| 3 | Distance Rate | \$ | 3.20 | 3 | Extra's Increment | \$0.50 | The road test shall | | | |
| 4 | Time Rate | | 20.00 | 4 | Drop Distance * | | The Taximeter shal the Initial Drop of \$2 | | | |
| 5 | Fare Increme | | 0.20 | 5 | 2nd Distance ** | | driven one-mile and | at the conc | lusion, the fare | should read |
| 6 | Extra's Increm | | 0.50 | 6 | Time Rate | \$20.00 | \$6.00. The vehicle conclusion of which | | | |
| 7 | Maximum Ext | ras | | 7 | Maximum Extras | | + \$3.20 = \$6.00 + \$ | 3.20 = \$9.20 | 0.) | |
| | | | | the unit | fill depend on the pulses re t. Either way, #4 and #5 sl number. | | Accepted tolerance shall be feet). | e the distance of | one average sized car | r length (17 to 20 |
| X Y | es No | The Tax | ximete | r Rates | of Fare are prograr | mmed | | | ectly calculated a ark within tolerand | |
| A | | correctly by the 0 | | | oliance with those es | stablished | 1. | | ectly calculated a | |
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| | | Docume | ent act | ual size | e only if different. | | 200 | | 0 | 15/23 |
| Front | Spec 235 | 165 8 | 217 | Rear | Spec 225/6 | 5R17 | By: 0. 60: | 5 40 | Date: | |

Ground Transportation License Application

City of Syracuse Department of Finance



City of Syracuse Form TA 107 (rev 04/2015)

| ADMINISTRATIVE USE ONLY LICENSE NUMBER: 023 Original: Issued: 023 Renewal: Transfer: Expires: | INSTRUCTIONS 1. ALL QUESTIONS must be answered and answered truthfully. Any questions left blank or containing false replies may result in the delay, denial or revocation of such license. THE SUBMISSION OF FALSE ANSWERS MAY CONSITUTE PERJURY 2. ALL APPLICANTS must submit a valid NYS Registration Document, valid Title Document and valid proof of For-Hire Insurance for the vehicle subject to this application. 3. ALL APPLICANTS must submit, if not already on file or required, certified copies of certificates of Partnership, Corporation or Association. 4. ALL APPLICANTS must submit, if not already on file or required, a certificate indicating operation under an assumed name (DBA). 5. The former Ground Transportation License and Medallion must be attached to this application if this application is for a request to TRANSFER a GTL. |
|--|--|
| APPLICANT PERSONAL INFORMATION Please Print | VEHICLE INFORMATION Please Print |
| | |

State of New York County of Onondaga City of Syracuse

I, the undersigned, hereby apply to the City of Syracuse for a Ground Transportation License to operate a Taxicab in the City of Syracuse and for that purpose I declare that, subject to penalties of perjury, any statements made on or in connection with this application (including statements made in accompanying papers) have been examined by me and to the best of my knowledge are true and correct. I understand that any deliberate misrepresentation or omission of facts may be cause for denial of such license or the revocation of same if already issued. I also understand that all statements made in connection with this application are subject to

Ground Transportation License Application City of Syracuse Form TA 107 (rev 04/2015)

City of Syracuse Department of Finance



Please answer Yes or No to the following questions. If the question asks for or if you need to provide additional details do so below in the <u>Additional Information</u> section.

Criminal history will be reviewed and considered in accordance with Article 23-A of the New York State Corrections Law.

| ADDITIONAL APPLICANT INFORMATION | | | | | | |
|--|---|--|--|--|--|--|
| 1. X Yes No | Are certified copies of certificates of Partnership, Association or Corporation attached? | | | | | |
| 2. Yes No | Are the names, addresses, titles and telephone numbers of each officer and director of the Partnership, Association or Corporation clearly documented in the requested certified copies? If NO, same must be listed on a seperate paper and attached to this application. | | | | | |
| 3. Yes No | Are the names, addresses, titles and telephone numbers of each Stockholder or Partner of the Partnership, Corporation or Association clearly documented in the requested certified copies? If NO, same must be listed on a seperate paper and attached to this application. | | | | | |
| 4. Yes No | Has the applicant or any of the persons identified in application questions 1, 2 or 3 ever had a Taxicab Driver's or Ground Transportation License issued by the City of Syracuse suspended or revoked? If YES, provide details below. | | | | | |
| 5. Yes No | Has the applicant or any of the persons identified in application questions 1, 2 or 3 or any other person directly or indirectly interested in this application been CONVICTED of any crime involving violence, deceit, gambling or the illegal possession, use, distribution or sale of controlled substances pursuant to New York Penal Law Article 220 or the equivalent statute in any other jurisdiction? If YES, provide details below. | | | | | |
| 6. Yes No | | | | | | |
| 7. Have all questions on this application been answered and has this application been signed and sworn to, or affirmed, in the presence of a Notary Public or Commissioner of Deeds? | | | | | | |
| ADDITIONAL INFO | RMATION | | | | | |
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| A DIMINISTRATIVE LI | SE ONLY | | | | | |
| ADMINISTRATIVE U | $\sqrt{-9 15 23}$ | | | | | |
| Application received by | | | | | | |
| Fee Paid. Application received by | Application returned to Licensing. SPD. CSOS. Clas 904 Applicant notified. Application returned to Licensing. | | | | | |

EXHIBIT #41

Sec. 5-1. - Licenses required for amusement businesses and other activities.

No person, unless hereinafter exempted therefrom, shall engage in any of the following amusement business activities without first obtaining a license therefor in the manner provided in this chapter:

(a) The exhibition or maintenance of any:

Acrobatic performance;

Amusement center having coin-controlled devices, and the ownership or operation of such devices (amusement center games), as further provided in article 5 of this chapter;

Bingo, as further provided in article 7 of this chapter;

Circus, indoor or outdoor, as further provided in article 3 of this chapter;

Common showman;

Concert;

Curiosity, artificial or natural;

Dance (see "public dance" below);

Floor show;

Horsemanship, feats of;

Jukeboxes, as further provided in article 6 of this chapter;

Legerdemain, feats of;

Motion picture show;

Necromancy, feats of;

Opera performance;

Picture show;

Professional basketball or hockey;

Public dance, dancing or dancing school, as further provided in article 8 of this chapter;

Skating; or

Any other amusement for the public; and

(b) The opening or maintaining of any hall or rink for:

Dancing, as further provided in article 8 of this chapter;

Skating; or

Any other amusement for the public.

- (c) Open-air-cultural event sponsored by a nonprofit organization to display and/or sell paintings, works of art, jewelry, handicraft, etc. (Food vendors are not permitted to operate under said license and must comply with chapter 14, article 4, Food Vendors, herein.)
- (d) The commissioner of finance shall provide to a quarterly report, thirty (30) days after the preceding quarter, stating the number, location and type of new entertainment licenses

granted by the city during the preceding quarter. In addition, the commissioner of finance shall file an annual report with the city clerk summarizing the year's activity concerning entertainment licenses.

(Gen. Ord. No. 17-1985, 4-15-85; Gen. Ord. No. 13-2002, 4-22-02; Gen Ord. No. 20-2020, 6-22-20)

RE: Licenses Question

McBride, Patricia <pmcbride@syr.gov>

Thu 6/13/2024 1:21 PM

To:Marion, Alexander <AMarion@syr.gov> Cc:Madden, Kyle <KMadden@syr.gov>;Driscoll, Brian <bdr/>bdriscoll@syr.gov>

Hi Alex,

Sorry I took so long to reply, this email got away for me.

But as Clerk I haven't seen any report/s of such in the current or recent years. Nor do I recall these reports being communicated when I was Deputy Clerk.

Thanks Patricia

From: Marion, Alexander <AMarion@syr.gov>

Sent: Thursday, June 13, 2024 11:53 AM

To: McBride, Patricia <pmcbride@syr.gov>

Cc: Madden, Kyle <KMadden@syr.gov>; Driscoll, Brian

<bd><bdr/>driscoll@syr.gov>

Subject: RE: Licenses Question

Hi there! Just wanted to follow up on this.

Thanks, alex

From: Marion, Alexander

Sent: Monday, June 10, 2024 3:02 PM

To: McBride, Patricia <pmcbride@syr.gov>

Cc: Madden, Kyle < < KMadden@syr.gov >; Driscoll, Brian

driscoll@syr.gov>

Subject: Licenses Question

Hey there!

We are wrapping up the licenses audit shortly and needed to confirm one detail with you: There are two ordinance-mandated reports which must be filed with your office by various city officials, described as follows. Have they done so?

Section 5-1(d): The Commissioner of Finance shall quarterly provide the City Clerk a report stating the number, location, and type of new entertainment licenses granted during the preceding quarter. The Commissioner of Finance shall additionally file an annual report with the Clerk summarizing the year's activity concerning entertainment licenses.

Section 27-181: The Commissioner of Finance shall provide annually a report to the Common Council the number of businesses that have a Certificate of Use and the number and name of

businesses that have had their Certificate of Use suspended or revoked.

Please let me know if you received any of these – and if so, I would appreciate a copy of the most recent filings.

Thanks! Alex

Alexander Marion, MPA
Syracuse City Auditor
amarion@syr.gov | (315) 448-8477

Sec. 27-181. - Annual report to the common council.

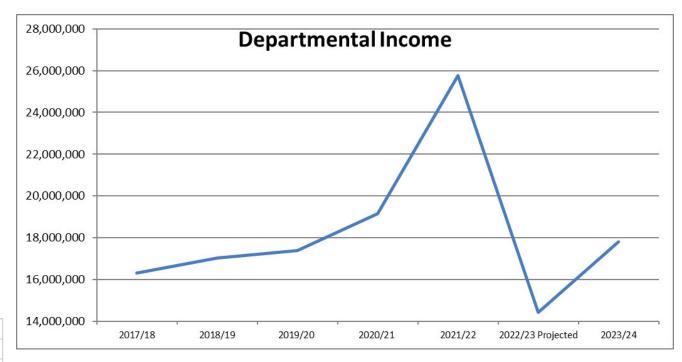
Every year the director of code enforcement or his/her designee shall prepare and submit to the common council an annual report detailing the number of businesses that have a certificate of use and the number and names of businesses that have had their certificate of use suspended and/or revoked pursuant to this article. The annual report should be transmitted to the common council no later than April 1st in the year in which the annual report is due with the first annual report being due no later than April 1, 2015.

(Gen. Ord. No. 13-2014, 3-31-14)



DEPARTMENTAL INCOME

| Year-t | Year-to-Year Comparison | | | |
|------------|-------------------------|-----------|--|--|
| 2022/2023 | 2023/2024 | Change | | |
| 16,445,863 | 17,802,994 | 1,357,131 | | |



FINANCE

| Year-to-Year Comparison | | | | |
|-------------------------|-----------|---------|--|--|
| 2022/2023 | 2023/2024 | Change | | |
| 4,843,263 | 5,786,634 | 943,371 | | |

ABSTRACT FEES: In order to obtain clear title to a property located in the City, property owners must make sure that all property taxes are up-to-date. The City charges \$3 per year with a minimum fee of \$25 (5-year tax search) to search its records to certify the payment status of property taxes and miscellaneous charges, fees and/or liens levied against a subject property. The most common search is a ten-year search for \$45, followed by a 15 year for \$65 and a 20 year search for \$80.

<u>DUPLICATE TAX BILL FEE:</u> The revised General Ordinances of the City were amended by Common Council action in January 1994 permitting the Finance Commissioner to charge a fee of \$4 for the issuance of a duplicate tax bill to any person or firm, other than the property owner. This fee allows the City to be compensated for the person hours used to help banks, lawyers, etc., get duplicate copies of tax bills for their various needs.

COUNTY TAX COLLECTION FEE: The City acts as tax collector for Onondaga County. The City fee is equal to 1% of the taxes levied by Onondaga County.

PARKING RESTITUTION SURCHARGE: In November 2003, New York State imposed a \$15.00 surcharge on every parking ticket. The City is responsible for collecting these funds and forwarding them to the State. As of 2008, the City will keep all of the proceeds from the surcharge.

HANDICAPPED PARKING SURCHARGE: Effective April 2000, handicapped parking violations were assessed an additional penalty of \$30.00. While New York State imposed this new fee, the City and Onondaga County split the entirety of the proceeds equally.

<u>LICENSES:</u> The Finance Department issues approximately 2,000 licenses annually. These include licenses for taxis and drivers, auctioneers, food vendors, amusement device operators, bowling alleys, dance and entertainment, second hand dealer, etc. Annual fees for these licenses vary from \$25.00 for a second hand dealer license to \$1,500 for a food vendor's license. The fee for waste hauling permits is also included in this account.

<u>BINGO LICENSES:</u> Bingo licenses are issued for each occasion of Bingo at an approved site. The fee for these licenses is \$18.75 per occasion. Forty-percent of the license fees collected for Bingo goes to the City, while the remaining 60% is remitted to New York State. Currently, there are several locations in the City that hold Bingo events.

BINGO RECEIPTS: The City of Syracuse receives 3% of the total gross receipts from Bingo events. These receipts are sent to the City on a weekly basis. The City employs one part-time Bingo inspector to monitor Bingo events.

GAMES OF CHANCE RECEIPTS: The City receives 5% of the gross receipts from Games of Chance events, such as Casino Nights. These receipts are sent in immediately following the conclusion of each event. For Raffles, the City receives 2% of the gross receipts on a quarterly basis.

GAMES OF CHANCE - LICENSES: These licenses are issued for such events as Casino Nights and Bell Jars. The license fee per event is \$25. Forty-percent of the license fees collected go to the City, while the remaining 60% is remitted to New York State.

FINES AND PENALTIES VIOLATIONS/TRAFFIC: Fines and penalties collected on tickets for moving violations issued by the Syracuse Police Department.

<u>MISCELLANEOUS RECEIPTS:</u> Examples of miscellaneous receipts include settlements from vendors with which the City has had a dispute, or reimbursement for expenses paid by the City in previous years.

RETURNED CHECK FEES: The City charges a \$30 fee for all returned checks.

Sec. 14-16. - Licensure of waste haulers or municipal haulers.

- (a) No waste hauler or municipal hauler shall operate in the city without a valid waste hauler or municipal hauler license.
- (b) Waste hauler or municipal hauler licenses shall be issued by the commissioner of finance after review and approval of the waste hauler license application by D.P.W. License application forms shall be provided by the commissioner of D.P.W. or the commissioner of finance. In its review of waste hauler or municipal hauler license applications, D.P.W. shall have the authority to require by letter additional information.

Waste haulers or municipal haulers must provide D.P.W. with customer addresses in the city, vehicles used in the city and dumpster and/or cart locations. The list must be provided to D.P.W. with license applications and must be updated every three (3) months. Such customer list shall specify whether solid waste collection and/or recycling services are provided and the frequency of the collection service. The commissioner of finance may reject the waste hauler or municipal hauler license application of any person if, in the thirty-six (36) month period immediately preceding the date of the application, the commissioner of finance suspended two (2) or more times, with hearing and pursuant to section 14-17 of this article, a waste hauler or municipal hauler license held by the applicant.

(c) Waste hauler or municipal hauler licenses shall be issued for a period of one year. Licenses shall be valid from January 1 of each year or the later date of issuance through December 31 of each year. No proration of license is provided for. Licenses are not

transferable. Waste hauler or municipal hauler license applications must be completed and submitted to the commissioner of finance with the necessary fees by November 1 to ensure no lapse in licensure proceeding the new license year.

- (d) The application forms for a waste hauler or municipal hauler license, including the contents thereof, shall be determined by the commissioner of finance after consultation with D.P.W. Application forms shall be available without charge from the commissioner of D.P.W. or commissioner of finance. The application form attached hereto shall be a model and may be revised by the commissioner of finance as provided hereinabove to meet the requirements of this section.
- (e) The application processing fee shall be one hundred and fifty dollars (\$150.00).
- (f) Each waste hauler or municipal waste hauler vehicle, roll off or container shall be in the place and manner designated by the commissioner of finance. Each vehicle is required to have a city of Syracuse sticker as outlined in section 14-16B below.

(Gen. Ord. No. 48-2001, 10-22-01; Gen. Ord. No. 43-2014, 10-27-14)

Sec. 14-16A. - Additional requirements of haulers to obtain waste hauler and/or municipal hauler license.

It shall be a precondition of doing business as a hauler in the city of Syracuse that the person/firm intending to conduct such business obtain a waste hauler and/or municipal hauler license and a city of Syracuse sticker.

An application on a form approved and provided by the city of Syracuse must be submitted to the city of Syracuse commissioner of finance in which the hauler shall be bound by the following provisions:

- (a) The hauler will deliver all of the nonrecyclable solid waste (residential and commercial) it collects within the city of Syracuse and destined for disposal in the State of New York to the approved disposal site specified in section 14-14 above. It shall be unlawful to unload or deposit any solid waste hauled from any premises within the limits of the city of Syracuse and destined for disposal in the State of New York at any place other than the Approved Disposal Site specified by the city of Syracuse in section 14-14 above. Any hauler failing to dispose of said solid waste at the approved disposal site so designated shall be subject to having its license revoked.
- (b) The hauler will supply a plan of operation for collection and transportation and which provides for a recycling plan as required by Onondaga County Local Law No. 12 of 1989 as it applies to haulers, which it shall adhere to and comply with. The hauler shall agree to provide for the collection of county designated recyclables in every waste hauler disposal agreement, written or oral, as part of its standard service and to include the cost of such collection in its standard waste collection rates.

(Gen. Ord. No. 48-2001, 10-22-01)

Sec. 14-16B. - City of Syracuse Sticker Requirement.

- (1) The hauler shall attach a city of Syracuse sticker which must be visibly and securely affixed to the driver's side vent window or upper part of the driver's side of the windshield of each of the hauler vehicles in operation. The fee for each sticker shall be two hundred and seventy dollars (\$270.00).
- (2) No hauler shall (a) duplicate or imitate a city of Syracuse Sticker or (b) sell or transfer in any manner a city of Syracuse Sticker.

(Gen. Ord. No. 48-2001, 10-22-01; Gen. Ord. No. 43-2014, 10-27-14)

Sec. 14-16C. - Cancellation/Revocation of a city of Syracuse Hauler License.

The city of Syracuse shall have the right to cancel any existing city of Syracuse Waste Hauler and/or Municipal Hauler License upon thirty (30) days written notice to the hauler if the city of Syracuse shall enact legislation establishing a new system for collection of solid waste in the city of Syracuse that is inconsistent with the continuation of said license. The city of Syracuse shall revoke a city of Syracuse Hauler License upon the happening of any or a combination of the following:

Failure of the hauler to comply with any provision of sections 14-16, 14-16A and 14-16B of this General Ordinance. Prior to any such revocation, the hauler shall be notified by the city of Syracuse of an opportunity for a hearing in the matter, which hearing shall be held not less than five days after the hauler is notified in writing by the city of Syracuse of the pending license revocation and the charges against it. All hearings shall be on a date and time and at a place determined by the city of Syracuse. The hearing

shall be informal and held before the city of Syracuse Commissioner of Finance or his/her designee. Compliance with technical rules of evidence shall not be required, and the decision of the city of Syracuse Commissioner of Finance or his/her designee shall be final.

(Gen. Ord. No. 43-2014, 10-27-14)

Section 5-807. - Procedures.

- (1) The commissioner of finance, or a deputy commissioner of finance as designated by the commissioner, shall issue the licenses.
- (2) If the department of finance, through the commissioner of finance or the designated deputy commissioner, as provided in section 5-807(1), determines to refuse to issue, revoke or suspend a license, it shall deliver in writing a notice of intention to so refuse, revoke or suspend such license to the applicant or licensee affected. Said notice shall afford said applicant or licensee the opportunity of a hearing in respect to such refusal, revocation or suspension before the commissioner or the designated deputy commissioner of finance, within ten (10) days following delivery of such notice. Upon the determination by the commissioner, or the designated deputy commissioner, following such hearing, any applicant or licensee shall have the right to judicial review thereof, pursuant to law.
- (3) The commissioner of finance may establish rules of procedure for hearings or licenses or permits and the revocation or suspension thereof, consistent with applicable law.

(L.L. No. 8-1995, § 2)

Sec. 56-12. - Suspension, revocation or refusal to renew license; hearings; appeals.

- (a) Any license issued hereunder may be suspended, revoked or refused to be renewed by the central permit office or his designee after a hearing, upon five (5) days' notice, if the licensee thereof shall violate any provision of this chapter, any rule or regulation adopted hereunder or any ordinance of the City of Syracuse.
- (b) A request for a hearing to reinstate a license or to contest a suspension, revocation or refusal to renew must be made, in writing, to the central permit office and be sent by registered or certified mail or given in person within ten (10) days after the suspension, revocation or refusal to renew. A hearing will be held within twenty-one (21) days after receipt of the licensee's request before the central permit office and a decision rendered within three (3) days. The licensee's license will remain suspended, revoked or expired until a decision is rendered by the central permit office.
- (c) Any licensee whose license has been suspended, revoked or refused to be renewed pursuant to this chapter may appeal said suspension, revocation or refusal to renew to the central permit office, within thirty (30) days of the date thereof, by attaching a copy of the suspension or revocation.

(Gen. Ord. No. 23-2016, 10-11-16; Gen. Ord. No. 31-2016, 12-19-16)

- (1) Scope of responsibility. Any person who has obtained a license, pursuant to this article, shall be responsible for the conduct of himself, his agents, servants, and employees.
- (2) *Liability.* Any person who is found guilty of violating any provision of this article shall be subject to the penalties described herein.
- (3) License revocation and other disciplinary action. No license holder shall have any license issued by the city pursuant to this article revoked or suspended or be subjected to any disciplinary action provided in this article except for misconduct shown after a hearing upon stated charges.
- (4) Disciplinary procedure and penalties.
 - (a) *Procedure.* A license holder against whom penalties are proposed shall have written notice thereof and the reasons therefor, shall be furnished a copy of the charges preferred against him and shall be allowed at least ten (10) days for answering the same in writing. Such written notice shall be mailed by certified mail to the last address of the license holder filed with the division. A hearing upon such charges shall be held by the board. The person against whom charges are preferred shall be entitled to be represented by counsel, to summon witnesses on his own behalf, and to cross examine those witnesses who testify against him. The burden

of proving misconduct shall be upon the person alleging the same. Compliance with technical rules of evidence shall not be required.

(b) Penalties.

- 1. A license holder or nonlicense holder, who shall violate any of the provisions of this article shall be guilty of a misdemeanor and upon conviction thereof, by a court of competent jurisdiction, shall be punished by a fine not to exceed one hundred fifty dollars (\$150.00) or by imprisonment for a period not to exceed one hundred fifty (150) days or both for each individual violation.
- 2. If the license holder is found guilty of charges pursuant to this section, a penalty may be imposed by the board. Such penalty may consist of suspension or revocation of any licenses issued by the city pursuant to this article, or a civil penalty not to exceed five hundred dollars (\$500.00) for each individual violation, or both, provided, however, that no license may be suspended for a period exceeding ninety (90) days.
- 3. A nonlicense holder, who shall violate any of the provisions of this article shall be subject to a civil penalty not to exceed five hundred dollars (\$500.00) for each individual violation, to be collected by the corporation counsel by civil action or proceeding.
- 4. The penalties provided herein shall be cumulative and not exclusive and shall be in addition to any other remedies provided by law. Any and all penalties may be

pursued concurrently or consecutively and the pursuit of any penalty shall not be construed as an election or the waiver of the right to pursue any and all of the others.

(5) Review. Any licenseholder aggrieved by a decision of the board pursuant to this section may apply to the Supreme Court for relief by proceeding under Article 78 of the Civil Practice Law and Rules. Such proceeding shall be governed by the provisions of Article 78 of the Civil Practice Law and Rules, except that it must be instituted as therein provided within thirty (30) days after service of the board's decision on the person alleged to be aggrieved.

(Gen. Ord. No. 39-2005, 8-1-05)

Chapter 46 - TOWING

Footnotes:

--- (1) ---

Editor's note— Gen. Ord. No. 10-1992, adopted March 16, 1992, amended the Code by adding provisions designated as Ch. 45, Arts. I—III, §§ 45-1—45-22. Inasmuch as there are already provisions so designated, Ch. 45, Arts. I—III, §§ 45-1—45-22 has been redesignated as Ch. 46, Arts. I—III, §§ 46-1—46-22 at the discretion of the editor.

ARTICLE I. - GENERALLY

Sec. 46-1. - Definitions.

As used in this chapter, the following terms shall have the meanings indicated:

Towing. The moving of a motor vehicle by another vehicle for compensation.

Towing company. A person engaged in the towing business or offering towing services, whereby motor vehicles are towed or otherwise removed from one place to another by use of vehicle designed or adapted for that purpose.

Vehicle owner. The owner of a vehicle or another person authorized by the owner to operate the vehicle.

(Gen. Ord. No. 10-1992, 3-16-92)

Sec. 46-2. - Purpose.

The purpose of this chapter is to safeguard and protect the public against fraud and exorbitant rates and similar abuses on the part of itinerant towing companies and to license persons engaged in towing businesses.

(Gen. Ord. No. 10-1992, 3-16-92)

Sec. 46-3. - License required.

No person shall maintain or operate a towing company or operate a towing vehicle for hire, within the city of Syracuse, without first having obtained a towing company license. This requirement shall not apply to those towing operations specially exempted under section 46-11.

(Gen. Ord. No. 10-1992, 3-16-92; Gen. Ord. No. 20-2019, 4-22-19)

Sec. 46-4. - Application procedure; license requirements.

(a) An application for a towing company license shall be made to the commissioner of licenses on forms prescribed by the commissioner of licenses. The application shall contain the name and address of the owner and operator of the towing company, as well as the name and address of the owner of the premises where the towing company is to be located and of the premises where towed vehicles are to be stored, and the telephone number which may be called to retrieve towed vehicles. If a partnership, corporation or other business association is

involved, the names and addresses of the partners, officers or principals shall be listed on the application. All addresses of persons involved shall be home addresses, listing street and number.

- (b) The application shall also contain the hours during which the applicant will be open for towing and for retrieval of towed vehicles. The application shall also contain a complete listing of the vehicle make, year and license plate number of all towing vehicles to be used or operated by the applicant. The application shall also contain a complete listing of all towing and storage fees to be charged by the applicant.
- (c) Before said license is issued the applicant shall present proof to the commissioner of licenses that all safety regulations prescribed by the state of New York, Motor Vehicle Bureau have been complied with and all policies of insurance required by the state of New York have minimum limits of one hundred thousand dollars (\$100,000.00)—two hundred thousand dollars (\$200,000.00) bodily injury and fifty thousand dollars (\$50,000.00) property damage with the city of Syracuse named as an additional insured.
- (d) The commissioner of licenses may require such additional information as may be necessary in order to enforce this chapter and to ensure the safety of all persons. The commissioner of licenses shall forward each application for a towing license to the chief of police or his designee for his review.

(e)

Upon receipt of an application for a towing company license, the chief of police shall cause an inspection to be made by the appropriate authorities of the location of the towing company and of the premises where towed vehicles are to be stored, to determine whether public safety problems exist, and the chief of police shall cause an investigation to be made of the background of the owner and the operator of the towing company. The chief of police and his representatives shall have the right to enter upon all such premises for the purpose of making such inspections during normal business hours.

(Gen. Ord. No. 10-1992, 3-16-92)

Sec. 46-5. - Operation of towing companies.

- (a) The owner and operator of a towing company shall comply with all provisions of federal, state and local laws and ordinances relating to the conduct of the towing business and the use and maintenance of the towing company premises.
- (b) The owner and operator of a towing company shall comply with all the notices, orders, decisions and rules and regulations made by the chief of police and local officials with jurisdiction over the occupation and use of towing company premises.
- (c) The owner and operator of a towing company shall cause the towing company license to be posted in a conspicuous place on the premises of the towing company and shall also cause a copy of said license to be available for inspection in each towing vehicle used by the company. The commissioner of licenses shall issue a decal which shall be displayed on the rear window of

each towing vehicle in an area not obstructing the driver's view. Every license shall receive one decal, the cost of which shall be included in the cost of the license. Any additional decals needed will cost twenty-five dollars (\$25.00) per decal.

- (d) All towing companies shall maintain all licenses required by the New York State Vehicle and Traffic Law, and all equipment utilized shall comply with said law and all applicable rules and regulations of the Commissioner of Motor Vehicles, and all regulations and requirements set by the chief of police. The equipment shall be in good operating condition, and all towing company personnel shall be properly trained and fully competent to perform their specific functions and shall so perform those functions in a courteous and orderly manner.
- (e) No towed vehicles shall be stored on a public street or on private property not owned by the towing company.
- (f) A towing company shall, upon request of a vehicle owner paying to retrieve a towed vehicle, deliver a receipt to such person at the time of payment. Such receipt shall contain at least the following information:
 - (1) The name, business address and telephone number of the towing company.
 - (2) The date of the vehicle was towed and the date of the retrieval by the vehicle owner.
 - (3) The license plate and vehicle make of the vehicle towed.
 - (4) The starting and ending location of the tow.

- (5) An itemization of all fees charged, including towing, storage and any other charges.
- (g) A towing company shall be responsible for all damage done to a vehicle resulting from the negligence of the towing company and/or its agents or employees.
- (h) A towing company shall maintain accurate records concerning all vehicles towed, which shall contain at least the information required in subsection (f) above. Such records shall be retained for at least three (3) years after a towed vehicle has been retrieved.
- (i) A license holder shall inform the commissioner of licenses within thirty (30) days of any changes in the information which has been supplied on a license application.
- (j) The chief of police may promulgate rules and regulations to govern the operation of towing companies so as to provide for the orderly operation of said companies and to ensure the public safety of all persons.

(Gen. Ord. No. 10-1992, 3-16-92; Gen. Ord. No. 20-2019, 4-22-19)

Sec. 46-6. - License fees; term.

- (a) The annual fee for a towing company license shall be two hundred dollars (\$200.00). Payment of the fees shall be due upon application for the license.
- (b) Every license issued hereunder shall expire on the fifteenth day of April next succeeding the day on which it was issued.

(Gen. Ord. No. 10-1992, 3-16-92)

Sec. 46-7. - Renewal.

- (a) Any license issued under the provisions of this chapter may be renewed for additional periods of one year upon the following:
 - (1) Submission to the commissioner of licenses of a renewal application containing the same information as required by section 46-4, no later than thirty (30) days before the expiration date of the current license.
 - (2) Payment to the commissioner of licenses of a renewal fee in the amount required by section 46-6.

(Gen. Ord. No. 10-1992, 3-16-92; Gen. Ord. No. 20-2019, 4-22-19)

Sec. 46-8. - Denial of license.

(a) The commissioner of licenses may deny a license or deny the renewal of a license to any applicant who does not comply with the provisions of this chapter or any rule or regulation promulgated under this chapter who makes a material misrepresentation on a license application. The commissioner of licenses shall give written notification to an applicant of the reasons for the denial of a license. Any applicant who is denied a license or renewal of a license may within ten (10) days from the date of denial, request a hearing from the commissioners of licenses.

(b)

The chief of police shall have the power to investigate and inquire into license applications under this chapter and to require and enforce by subpoena the attendance of witnesses at such investigations.

(Gen. Ord. No. 10-1992, 3-16-92)

Sec. 46-9. - Transferability.

Any license or registration required by this chapter shall not be transferred to another person or vehicle.

(Gen. Ord. No. 10-1992, 3-16-92)

Sec. 46-10. - Towing from privately owned property without vehicle owner's permission.

(a) No person shall tow, remove, impound or otherwise disturb any motor vehicle other than an abandoned vehicle as defined in section 1224 of the Vehicle and Traffic Law, without permission of the vehicle owner, from privately owned property in the city of Syracuse, other than property which is solely residential and contains fewer than five (5) residential units, unless there is posted on the property in a clearly conspicuous location a sign or notice relating in clear and concise English, and of adequate size with lettering in a color contrasting to that of the background, such that to any reasonable person it will be readily apparent that unauthorized vehicles will be removed at the vehicles owner's expense and providing the towing company's name, telephone number and address where towed vehicles may be

retrieved. Said sign or notice shall state the times of day when unauthorized vehicles shall be prohibited, shall state the fee to be charged for towing, and shall be clearly visible at all the applicable times of the day or night.

(b) A towing company may not charge a fee in excess of the towing fee posted pursuant to the provisions of subsection 46-10(a), and in no event shall a towing company charge a fee in excess of one hundred fifty dollars (\$150.00) plus all applicable taxes, for removal or towing, including storage up to twenty-four (24) hours, without permission of the vehicle owner, or passenger vehicles, including cars, pickup trucks and passenger vans, from privately owned property in the city of Syracuse. No mileage fees shall be charged for such tows. The cost of storage shall not exceed forty dollars (\$40.00) per day or fraction thereof for each day after the said twenty-four (24) hours, and such cost of removal or towing shall be a charge against the owner of such vehicle, including the following fees: four wheel drive, or flatbed, or dolly fee, twenty-five dollars (\$25.00) winching fee (not to include winching onto a flatbed), fifty dollars (\$50.00) for the first thirty (30) minutes and twenty-five dollars (\$25.00) for each additional fifteen (15) minutes. Before the owner or person in charge of such vehicle shall be entitled to remove the same he shall pay the towing or storage charges, furnish evidence of his identity and ownership and give a proper receipt thereof. A towing company must be open to allow the retrieval of such

towed vehicles between 9:00 a.m. and 5:00 p.m. daily or whenever such company provides towing services, whichever time period is greater.

- (c) If a towing company has attached a vehicle to be removed from privately owned property in the city of Syracuse to a towing vehicle and the owner of said vehicle arrives before said vehicle has been removed, said vehicle must be released to its owner upon tender of payment of an amount not to exceed one hundred dollars (\$100.00). If the vehicle owner arrives before the vehicle has been attached to a towing vehicle, the owner shall be allowed to remove his vehicle without charge.
- (d) The towing company shall immediately notify the police department of all vehicles towed from a location within the city of Syracuse without permission of the vehicle owner and shall provide the police department with such information as the chief of police may require.

(Gen. Ord. No. 10-1992, 3-16-92; Gen. Ord. No. 4-2008, 2-4-08; Gen. Ord. No. 20-2019, 4-22-19)

Sec. 46-11. - Exemptions.

The provisions of this chapter shall not apply to the towing of a vehicle through the city of Syracuse from a destination outside of the city of Syracuse to another destination outside of the city of Syracuse; nor to the towing of a vehicle from or to a destination outside of the city of Syracuse as long as said vehicle is towed with permission of the vehicle owner by a

towing company without a place of business or storage lot in the city of Syracuse; nor to towing companies engaged solely in the business of towing vehicles at the vehicles owner's request.

(Gen. Ord. No. 10-1992, 3-16-92; Gen. Ord. No. 20-2019, 4-22-19)

ARTICLE II. - ENFORCEMENT

Sec. 46-12. - Scope of responsibility.

Any person who has obtained a towing license pursuant to this chapter shall be responsible for the conduct of himself, his agents, servants and employees.

(Gen. Ord. No. 10-1992, 3-16-92)

Sec. 46-13. - Liability.

Any person who is found guilty of violating any provision of this chapter shall be subject to the penalties described herein.

(Gen. Ord. No. 10-1992, 3-16-92)

Sec. 46-14. - License revocation and other disciplinary action.

No person described in <u>section 46-12</u> shall have any license or permit issued by the city pursuant to this chapter revoked or suspended or be subjected to any disciplinary action provided in this chapter except for

misconduct shown after a hearing upon stated charges, pursuant to <u>section</u> 46-12.

(Gen. Ord. No. 10-1992, 3-16-92; Gen. Ord. No. 20-2019, 4-22-19)

Sec. 46-15. - Procedure.

A person against whom penalties are proposed shall have written thereof and the reasons therefor, shall be furnished a copy of the charges preferred against him and shall be allowed at least ten (10) days for answering the same in writing. A hearing upon such charges shall be designated by the chief of police in writing for that purpose. In case a deputy or other person is so designated, he shall, for the purpose of such hearing, be vested with all the powers of the chief of police, and shall make a record of such hearing which shall, with his recommendations, be referred to the chief for review and decision. The person against whom charges are preferred shall be entitled to be represented by counsel, to summon witnesses on his own behalf, and to cross examine those witnesses who testify against him. The burden of proving misconduct shall be upon the person alleging the same. Compliance with technical rules of evidence shall not be required.

(Gen. Ord. No. 10-1992, 3-16-92)

Sec. 46-16. - Reserved.

Sec. 46-17. - Penalties.

- (a) Any person violating any of the provisions of this chapter shall be guilty of a violation and upon conviction thereof, shall be liable to a fine not to exceed one hundred fifty dollars (\$150.00) or by imprisonment for a period not to exceed fifteen (15) days, or both, in addition to civil penalties.
- (b) If the person is found guilty of the charges pursuant to <u>section</u> 46-15, the penalty may consist of suspension or revocation of any licenses or permits issued by the city pursuant to this chapter, and a penalty not to exceed five hundred dollars (\$500.00); provided, however, that no license may be suspended for a period exceeding ninety (90) days.

(Gen. Ord. No. 10-1992, 3-16-92; Gen. Ord. No. 20-2019, 4-22-19)

Sec. 46-18. - Private right of action.

Any person who is aggrieved by the violation of any of the provisions of this chapter shall have a cause of action in his own behalf in any court of appropriate jurisdiction for damages, for civil penalties provided in this chapter, and such other remedies as may be appropriate, together with reasonable attorney's fees to be fixed by the court.

(Gen. Ord. No. 10-1992, 3-16-92)

Sec. 46-19. - Hearing.

Any person whose license is revoked pursuant to this chapter within thirty (30) days from the receipt of the notice of revocation may request a hearing, which shall be conducted according to the provisions contained in section 46-15.

(Gen. Ord. No. 10-1992, 3-16-92; Gen. Ord. No. 20-2019, 4-22-19)

Sec. 46-20. - Review.

Any person aggrieved by a decision of the chief of police pursuant to this chapter may apply to the supreme court for relief by a proceeding under article 78 of the Civil Practice Law and Rules. Such proceeding shall be governed by the provisions of article 78 of the Civil Practice Law and Rules, except that it must be instituted as therein provided within thirty (30) days after service of the chief's decision on the person alleged to be aggrieved.

(Gen. Ord. No. 10-1992, 3-16-92)

ARTICLE III. - MISCELLANEOUS

Sec. 46-21. - Severability.

If any clause, sentence, paragraph, section or part of this chapter shall be adjudged by any court of competent jurisdiction to be invalid, such judgment shall not affect, impair or invalidate the remainder thereof, but shall be confined in its operation to the clause, sentence, paragraph, section or part thereof directly involved in the controversy in which such judgment shall have been rendered.

(Gen. Ord. No. 10-1992, 3-16-92)

Sec. 46-22. - Effective date.

The provisions of this chapter shall take effect on April 1, 1992.

(Gen. Ord. No. 10-1992, 3-16-92)

FEE: \$200.00 FIRST VEHICLE \$25.00 EACH ADDITIONAL VEHICLE LICENSE #
DATE ISSUED

PAID:

APPLICATION FOR TOWING COMPANY LICENSE

| The undersigned | or a Towing Compa | es hereby apply to the License Commissioner of the any License, pursuant to the General Ordinances of |
|--|---|---|
| PLEASE PRINT | | |
| Name of Owner: | | Date of Birth: |
| Home Address: | | Home Phone: |
| Business Address: | | Business Phone: |
| Is the applicant a Corporation, Partners If yes, list its principal officers with the | eir respective places | |
| | | |
| Conducting business under an assumed | name? | |
| Business Hours: Towing Hours: | | |
| LIST ALL VEHICLES USED FOR Make Model | Year | License Plate # |
| | | |
| Towing Charges: | Storag | ge Charges per Day: |
| The applicant, upon issuance of a licensagents, officers and employees thereof against the City, its officers, employees | from all claims, sui s or agents for or on | (Not to exceed \$25.00 per day) N STATEMENT indemnify and save harmless the City of Syracuse, its its or actions of every name or description brought account of bodily injuries, including death or e sustained by any person or persons arising out of |
| (SIGNATURE OF APPLICANT) | - | (DATE) |
| (PLEASE PRINT NAME) | _ | (NOTARY) |

Towing Company License Instructions

Overview: This license is required for any person and/or company engaging in vehicle towing in the City of Syracuse. For more information, <u>click here to read the Ordinance</u>.

Application Contents:

- License Requirements
- Application Checklist
- Submittal Instructions
- Towing Company License Application, pages 2 to 3

License Requirements:

- The proprietor/company owner must apply for the license.
- The license must be applied for and renewed each year in the month of April.
- A background check and City review must be conducted before the license is issued. An inspection of the
 location of the towing company and of the premises where towed vehicles are stored will take place during
 normal business hours to determine whether public safety problems exist.
- The license must be posted in a conspicuous place on the premises of the towing company as well as a copy of the license in each towing vehicle used by the company.
- The license decal(s) provided must be posted in the back window of each vehicle being used for towing.
- The license does not put you on the Syracuse Police Towing List. For more information, contact our office.

Application Checklist:

| Completed Towing Company License Application (pages 2 to 3). Application must be signed in the presence of a |
|---|
| notary public. |
| \$200 Application Fee (for the first vehicle). \$25 for each additional vehicle. |
| Proof of Insurance Policies Required by NYS (minimum limits of \$100,000, \$200,000 bodily injury, and \$50,000 |
| property damage with the City of Syracuse listed as additionally insured). |
| Copy of Applicant's NYS Driver's License |
| Copy of NYS Driver's License for each additional driver (if applicable). |
| |

Submittal Instructions:

- 1. Application must be completed in its entirety. Incomplete applications will not be processed.
- 2. Application, fee, and documents must be submitted to:

City of Syracuse, Central Permit Office One Park Place 300 South State St. Syracuse, NY 13202 315-448-8474 | <u>Licensing@syr.gov</u>



Towing Company License Application

| Business Name and/or Doing Business As (DBA): | | | | |
|---|---|--|--|--|
| Owner Name: | Date of Birth: | | | |
| Home Address: | | | | |
| Phone: | | | | |
| Business Address: | | | | |
| Business Phone: | | | | |
| Is your Business one of the following (| circle one)? Corporation / Partnership / Association / Firm | | | |
| If yes, list all principal officers including | g their addresses, phone numbers, titles, and dates of birth: | | | |
| | | | | |
| | | | | |
| | | | | |
| Business Hours: | Towing Hours: | | | |
| List all vehicles used for towing: Includ | e Make, Model, Year, and License Plate Number: | | | |
| | | | | |
| | | | | |
| | | | | |
| Towing Charges: | Storage Charges Per Day: | | | |

The undersigned ______ does hereby apply to the License Commissioner of the City of Syracuse, State of New York, for a Towing Company License pursuant to the Revised General Ordinances of the City of Syracuse.

Indemnification Statement

Upon issuance of this license, the applicant agrees to indemnify, defend, and hold harmless the City of Syracuse, its officers, agents, and employees from and against all damages, claims costs, or expense arising from the issuance of this license, provided that such damage, claim cost or expense is attributable to bodily injury, sickness, disease, or death or damage to property. This indemnity shall survive the expiration and/or termination of this license.

Section below to be completed in the presence of Notary Public:

| Applicant Signature | Date: |
|--|------------|
| Duly sworn to before me on this Day of | , 20, |
| by Applicant Name | SEAL/STAMP |
| Notary Public Print Name | |
| Notary Public Signature | |
| | |

EXHIBIT #52

EXAMPLES OF TOWING COMPANIES CHANGING MAXIMUM TOWING RATES

| Towing Charges: | Storage Charges per Day: 18 Olf day |
|-----------------------------------|-------------------------------------|
| Towing Charges: Tow 210/FHT | Storage Charges per Day: 48 00 |
| Not to exceed SH3 DD per vehicle) | (Not to exceed \$25.00 per day) |
| Towing Charges: 175 And up | Storage Charges per Day: 48 |



City of Syracuse Department of Finance Bureau of Treasury Monthly Balancing Sheet

| Name: Mary Ziemun | A |
|--------------------------------|------------------------|
| | process date: March 20 |
| - A | |
| General Ledger Account #: | 0.2541 |
| | nso Receipts |
| | 9 |
| FD | 3225.94 |
| Previous Month Ending Balance: | 497.46 |
| Addition to Account: | 471.44 |
| Subtraction from Account: | |
| Ending Total per Work: | 3723.40 |
| | |
| Ending Total per G/L: | |

** Account Summary **

01.0 .2541 2) REVENUE

1) GENERAL FUND
3) LICENSE COMM. BINGO RECEIPTS

| PERIOD | MONTH | YTD | CUR | RENT |
|----------|--------|----------|------------|----------------------|
| 3/31/12 | 980.68 | 4,927.20 | | |
| 4/30/12 | 534.92 | 5,462.12 | 6,000.00DB | Adopted Budget |
| 5/31/12 | 427.07 | 5,889.19 | 6,000.00DB | Revised Budget |
| 6/30/12 | 305.75 | 6,194.94 | ,,,,,,,, | are resourced budget |
| FYE 2012 | 0.00 | 6,194.94 | | |
| 7/31/12 | 675.48 | 675.48 | | |
| 8/31/12 | 341.16 | 1,016.64 | | |
| 9/30/12 | 282.34 | 1,298.98 | | |
| 10/31/12 | 357.71 | 1,656.69 | | |
| 11/30/12 | 319.68 | 1,976.37 | 497.46 | Current Period |
| 12/31/12 | 459.72 | 2,436.09 | 3,723.40 | Current Year |
| 1/31/13 | 366.52 | 2,802.61 | | current rear |
| 2/28/13 | 423.33 | 3,225.94 | 2,276.60DB | Remaining |
| 3/31/13 | 497.46 | 3,723.40 | 38 | % Remaining |

Detail to Display.... A (A/B/D/E/P/I/O) Show Detail Starting At 07 / 01 / 2012 B/F/S/R/. ACTION?

| | | | | cei | |
|--|--|--|--|-----|--|
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

| | | | | Profit | | | |
|------------------------------|--------|---------|-------------|---------------------|----------|------------|-----------|
| | | #of | Total | before 3% | 01.02541 | Net Profit | Date of |
| Dte of Occ Organization | ID# | Players | Receipts A4 | City | 3% City | (C3) | Dep |
| 2/22/2013 Eastwood Auxiliary | 2426 | 168 | 5,510.00 | 2,176.00 | 65.28 | 2,110.72 | 3/1/13 |
| 3/1/2013 Ed Fund Peter Paul | 2409 | 168 | 3,183.00 | 230.00 | 6.90 | 223.10 | |
| 2/25/2013 All Saints | 2428 | 122 | 3,354.40 | (10.35) | 0.00 | (10.35) | |
| 3/1/2013 Eastwood auxiliary | 2426 | 160 | 5,341.00 | 1,758.86 | 52.77 | 1,706.09 | 3/8/13 |
| 3/3/2013 All Saints | 2428 | 132 | 4,184.40 | 729.65 | 21.89 | 707.76 | 3/11/13 |
| 2/26/2013 Sacred Heart | 2412 | 120 | 3,733.00 | 185.10 | 5.00 | 179.55 | 3/11/13 |
| 3/5/2013 Sacred Heart | 2412 | 117 | 3,648.00 | (234.35) | 0.00 | (234.35) | |
| 3/8/2013 Ed Fund Peter Paul | 2409 | 160 | 3,089.50 | 1,503.00 | 45.09 | 1,457.91 | 3/12/13 |
| 3/5/2013 PTO Peter Paul | 2410 | 155 | 2,779.50 | 1,253.00 | 37.59 | 1,215.41 | 3/12/13 |
| 3/12/2013 PTO Peter Paul | 2410 | 116 | 2,112.75 | 592.75 | 17.78 | 574.97 | 3/13/13 |
| 3/12/2013 Sacred Heart | 2412 | 125 | 3,621.00 | (290.00) | 0.00 | (290.00) | |
| 3/8/2013 Eastwood auxiliary | 2426 | 157 | 5,083.00 | 1,730.86 | 51.93 | 1,678.93 | 3/15/13 |
| 3/11/2013 All Saints | 2428 | 132 | 3,709.50 | 308.75 | 9.26 | 299.49 | 3/19/13 |
| 3/15/2013 Ed Fund Peter Paul | 2409 | 135 | 2,559.50 | 979.50 | 29.39 | 950.11 | 03/20/213 |
| 3/19/2013 PTO Peter Paul | . 2410 | 109 | 2,015.25 | 495.25 | 18.46 | 476.79 | 3/21/13 |
| 3/15/2013 Eastwood auxiliary | 2426 | 150 | 4,641.00 | 1,238.71 | 37.16 | 1,201.55 | 3/22/13 |
| 3/19/2013 Sacred Heart | 2412 | 116 | 3,358.00 | (102.40) | 0.00 | (102.40) | |
| 3/18/2013 All Saints | 2428 | 101 | 3,306.00 | (103.60) | 0.00 | (103.60) | |
| 3/22/2013 Ed Fund Peter Paul | 2409 | 145 | 2,678.00 | 1,098.00 | 32.94 | 1,065.06 | 3/25/13 |
| 3/25/2013 All Saints | 2428 | 111 | 3,367.65 | (6.10) | 0.00 | (6.10) | |
| 3/26/2013 PTO Peter Paul | 2410 | . 131 | 2,399.75 | 654.75 [°] | 19.64 | 635.11 | 3/29/13 |
| 3/22/2013 Eastwood auxiliary | 2426 | 167 | 4,840.00 | 1,545.86 | 46.38 | 1,499.48 | 3/29/13 |
| | | | | | 497.46 | | |

Sec. 9-83.1. - Waiver of license fee.

- (1) A waiver for licensing fees shall be granted to any honorably discharged service-member who has procured a license as provided by the General Business Law of the State of New York, who is disabled as a result of injuries received while in the military service of the United States and who has otherwise complied with § 32 of said General Business Law.
- (2) The burden of proving entitlement to license fee waiver shall be upon the person claiming such exemption.

(Gen. Ord. No. 40-2014, 9-29-14)

Sec. 9-142.2. - License fee waiver.

1. A waiver for licensing fees shall be granted to any honorably discharged service-member who has procured a license as provided by the General Business Law of the state of New York, who is disabled as a result of injuries received while in the military service of the United States and who has otherwise complied with § 32 of said General Business Law.

(Gen. Ord. No. 40-2014, 9-29-14)









DEPARTMENT OF NEIGHBORHOOD & BUSINESS DEVELOPMENT

CITY OF SYRACUSE, MAYOR BEN WALSH

Commissioner Michael Collins

Deputy Commissioner of Neighborhood Development Michelle Sczpanski

Deputy Commissioner of Business Development Eric Ennis

Deputy Commissioner of Code Enforcement Jacob Dishaw

Deputy Commissioner of Planning and Sustainability Owen Kerney Office of the City Auditor 233 E. Washington Street Room # 433 Syracuse, NY 13212

RE: Department of Neighborhood and Business Development Response Letter to City of Syracuse Auditor Licensing Audit

Auditor Marion,

The Department of Neighborhood and Business Development would like to thank you and your staff for their time and dedication to the audit of City license and permit operations. Our department has been committed to continuous improvements throughout our functions and policies that will help us to better serve our constituents; we look forward to continuing this work with our licensing function.

This letter acknowledges the receipt of the City of Syracuse Auditor's audit of License and permit operations by the Department of Neighborhood and Business Development (NBD). NBD has reviewed the Auditor's findings and recommendations and accepts many made by the City Auditor. The Central Permit Office in collaboration with the Mayor's Office, Finance Department, Corporation Council, the Department of Public Works and the Police Department will work to address many of the recommendations noted in the report and for a number of recommendations have already been implemented.

Recommendation: Create a new department of permits, licenses, and inspections

Response/Justification: The work of permitting, licensing, and inspections is highly collaborative and crosses a variety of divisions and departments. Currently, Fire Prevention, Ordinance Enforcement, Business Development, Neighborhood Development, and the Division of Code Enforcement are all co-located together, creating a high level of collaboration. Public Works and Engineering are also hiring to be able to staff co-located team members. As is noted within this audit, the current team is capable of making adjustments and improvements to process and procedure as structured. Creating a new department would utilize significant additional resources at a time of budget deficit, without a demonstrated measurable improvement in constituent services. Therefore, the Administration respectfully declines this recommendation.

Finding: Licensing operations are highly decentralized

Despite the abolishment of the License Commission nearly 30 years ago and the centralization of the permitting and licensure functions 10 years ago, the

Department of Neighborhood & Business Development

One Park Place 300 South State St., Suite 700 Syracuse, NY 13202 Office 315-448-8100 Fax 315-448-8036

syr.gov/NBD

GROWTH. DIVERSITY. OPPORTUNITY FOR ALL.

Page 2

licensing process has struggled to gain efficiencies, create predictability, and provide consistent and high-quality deliverables for residents and businesses looking to operate in the City. The audit found that NBD, Finance, Police, Fire, DPW, Parks, and the City Clerk can all be involved in the administration of various licenses. At the CPO, reporting structures aren't linear, and enforcement is weak. Without clear leadership and with no ability to enforce the rules, license coordinators are not empowered or obligated to improve the process.

Response/Justification: The Auditor's report states "Two organizational charts were provided by the CPO, an original and updated version, and neither accurately depicted the actual reporting structure. (exhibits 26/27)" Exhibit 26 provided to the Auditor includes a complete chart for the NBD Code Enforcement division and was updated prior to submission, a second chart was provided to the Auditor upon request (exhibit 27) which shows just the Central Permit Office, colored coded to reflect our reporting structure, as requested by the auditor. These have been reviewed and are correct.

Recommendation: Relocate the Central Permit Office to City Hall

Response/Justification: The administration recognizes the importance of ease of access for constituent services. To that end, the current location at 300 S. State Street has proven to be very accessible to constituents. The office has dedicated parking that does not exist at City Hall, and the counter is immediately at the door without the need for additional wayfinding once inside. Much of the trades work that the department services are available online, minimizing, and in some instances eliminating the need for in-person interactions. Importantly, the work is tied directly to our reviewing staff who is located on the 7th floor. While some of the public may still be adjusting to the new location, traffic through the office demonstrates that generally the public has adjusted. Relocation would hinder collaboration and workflow and require another City department or divisions to relocate out of City Hall to make space. Therefore, the Administration respectfully declines this recommendation.

Recommendation: Establish an organizational mission and set department goals

Response/Justification: The administration has established an organizational mission and vision statement that include organizational values and objectives to guide departments in their daily activities and operations which have been guiding our efforts to date (Exhibit A). The administration agrees there is value to having a

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mission and vision for the department, the Central Permit Office will work to dig deeper in identifying a mission and vision statement that will drive our work and update our SOP.

Vision: Syracuse will be a growing city that embraces diversity and creates opportunity for all.

Mission: As a model of innovation and citizen engagement, the City of Syracuse will consistently deliver high quality customer service experiences through proactive and efficient service.

Mayoral Objectives: Deliver City services effectively, efficiently, and equitably; Increase economic investments and neighborhood stability; Provide quality constituent engagement and response; Achieve fiscal sustainability

Recommendation: Update and increase signage and information at Central Permit Office, former City Hall Commons, City Hall and website

Response/Justification: The administration in collaboration with the Communications team has been working to address this recommendation. The current status is that signage for One Park Place is being prepared for installation and includes the following: (1) 52" x 21' LED illuminated City of Syracuse sign on brick façade facing South State St. and closest to the intersection of E. Genesee and E. Onondaga Streets, (2) 36" x 42" wayfinding signs installed on pillars near front entrance (on S. State St.) and CPO main entrance (facing E. Onondaga St.) and, (1) 36" x 184" Logo and City of Syracuse Central Permit Office sign installed on the windows near CPO main entrance.

At City Hall Commons, City Maintenance completed the following: cleaned all windows at the former entrance on Washington Street, removed old signage and hung new poster near the front entrance, which includes the One Park Place address, aerial view of building, entrance information, and parking. Additionally, the NBD Public Information Officer will create an informational postcard to keep at the front security desk of City Hall with directions to Central Permit Office, Parking/Visitor information and they will attach the PDF of the postcard mentioned above to the City's website on the Central Permit Office main page, under the side panel for 'Visitor Entrance and Parking'.

Recommendation: Overhaul and standardize appearance of and signatories for physical permits, licenses and certificates; increase security measures

Page 4

Response/Justification: The Administration agrees the licensing documents need to be updated to better display names and prevent duplication and forgeries. The Central Permit Office will work to define the changes needed and create an operational document, additionally they will work in collaboration with Corporation Council to include these new standards in the proposed Ordinance revisions.

Recommendation: Establish procedures for city mail distribution, collection, and safeguarding

Response/Justification: The administration understands that without a dedicated individual delivering department mail it's important for departments to check the mailroom daily to ensure that critical mail is being handled in a timely manner. We have a dedicated individual that delivers our mail from City Hall daily, and our Licensing Coordinator has received mail relative to licenses regularly since we've relocated to One Park Place. We will coordinate with the Community Service Officers to ensure that licensing mail is deposited into the correct mailbox and staff to ensure that they are also visiting the designated Licenses box to ensure that nothing is being left behind.

Recommendation: Conduct comprehensive review of business licenses; re-open the permission and approvals needed to meet the goals of a modern city

Response/Justification: The administration agrees that a review of current licenses is appropriate, as is an update to the associated fees for licenses and permits. The Central Permit Office will work closely with the Finance Department and Corporation Council to ensure that we address related Ordinances and consolidate oversight and responsibility for our licenses with a panoptic approach to ensure that we include items such as renewal letters, state mandates and required insurance and business documents for submission.

Recommendation: Consider new general business license; license newly emerging businesses

Response/Justification: The administration agrees that a review of currently unlicensed business types is appropriate. The evaluation will balance the benefit to the constituency with the effects of creating new licensing. For example, businesses such as axe throwing, for which safety is a concern and possibly no other government entity, such as the County Health Department, licenses or permits that

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business type, may be appropriate to license. Business licenses such as general contracting, however, create bureaucracy and expense without adding a benefit to the constituency, as licensing already exists for plumbing, electrical, and HVAC, and nearly all work performed by a General Contractor requires a permit and subsequent inspection. Therefore, requiring a license would make it harder and more costly for constituents and businesses to make the desired and at times required building repairs and improvements, with no added benefit.

Recommendation: Require applicants to provide more business information, identification

Response/Justification: The administration agrees that requiring business and personal information is a critical component in ensuring that we are licensing legitimate businesses and individuals in our community. As part of the work that the Central Permit Office will conduct with the Finance Department and Corporation Council, they will ensure that we review and examine current requirements and seek to amend Ordinances include any revisions to these requirements.

Recommendation: Develop better relationships with Onondaga County departments and New York State agencies

Response/Justification: As mentioned in the Auditor's report, the Central Permit Office staff has already established a relationship with the County Clerk's office. The Central Permit Office is now receiving DBA applications submitted to the County on a weekly basis. They've also made several connections with the NYS Gaming Commission who have provided them with training as well as other resources regarding reports and reporting requirements. The administration believes in the value of establishing these as well as other relationships with relevant entities and will continue to do so.

Recommendation: Corporation Council should update Ordinances and provide guidance on issuing licenses with insurance and bonding requirements

Response/Justification: Generally, bonding requirements are tied to performance, maintenance and labor associated with construction. Those areas are not generally associated with licensure; however, Corporation Council can review, on a case-bycase basis, requirements as presented by the Central Permit Office and other City Departments. With respect to insurance requirements, Corporation Council generally agrees with the recommendation, and they stand ready and willing to

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review as and when presented to Corporation Council by the Central Permit Office. With regard to the second recommendation, Corporation Council agrees with the recommendation and will undertake a review of the municipal code to identify ordinances which require insurance and/or bonding and seek to amend such requirements as they deem appropriate to meet the needs of the City. Finally, with respect to the third and final recommendation, to the extent the Central Permit Office determines that a permit requires insurance, at their request Corporation Council will review the required paperwork and the permit to ensure compliance. If the Central Permit Office is not sure whether a particular permit requires insurance, Corporation Council will assist with that analysis upon request.

Recommendation: Make significant website updates; provide more business licensing resources, fee schedules, better contact information

Response/Justification: The administration undertook and completed a long-needed update to the City website which has significantly improved the use and wayfinding of resources and information. The administration agrees that making further changes over time to our website is important to ensuring our constituents are receiving quality customer service. The NBD Public Information Officer will work with NBD staff to implement information improvements to city applications.

Recommendation: Develop, distribute, and promote licensed businesses list

Response/Justification: The administration recognizes the value in publicly accessible information related to licensed entities and individuals. To that end, we will explore how we may best maintain an easily accessible public listing of current licensees.

Recommendation: Create online dashboard to show active permits and licenses

Response/Justification: The administration believes strongly in the use of data to inform administrative decisions and practices this belief with the use of several dashboards developed and maintained by the Office of Analytics, Performance & Innovation. The administration believes in transparency and providing our constituents with useful tools, however the interest our constituents would have in this tool is unclear at this time. The Central Permit Office will work to understand user needs for a similar tool suggested as well as begin to explore how we could display this data for the public. There are several ways constituents can find this information currently, all of our permit data is available on the Open Data Portal

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created and maintained by the Office of Analytics, Performance and Innovation and we do currently have the BAS look-up tool that shows active permits. The link is provided below.

https://ips.egov.basgov.com/syracuse/parcelsearch.aspx

Recommendation: Require license coordinator to furnish renewal applications

Response/Justification: The administration is supportive of this recommendation and is aware that this is a task that was completed to some capacity previously. The licensing coordinator has drafted new templates and has been sending them out when relevant as we are now receiving DBA's filed with the County. The licensing coordinator has also drafted renewal reminders and has been sending those out when relevant.

Recommendation: Empower new department with proper enforcement powers

Response/Justification: The administration is committed to working with the Syracuse Police Department (SPD) and NBD to ensure licensing and ordinance enforcement efforts have sufficient staffing levels and capacity in place to support compliance efforts. SPD recommends this be staffed by a combination of SPO's, (retired Police Officers) and / or Community Service Officers (CSO's). Additional funding will be needed in the budget to pay for the salaries of the new staff. SPD recommends the new staff report to and be supervised by the Director of the Central Permit Office for day-to-day operations. The SPO's and or CSO's will still have an SPD chain of command for training and discipline purposes. SPD will work in collaboration with all relative departments on implementing this once funding is secured for the needed new hires.

Recommendation: Begin reissuing Waste Hauler licenses from the Central Permit Office

Response/Justification: The administration determined the waste hauler licensing does not provide any enforcement value beyond existing City, State and County laws already in place. The administrative burden was more than any benefit to the City of Syracuse for this license. The administration is in the process of working with the Common Council to remove the waste hauler license from the ordinance.

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Recommendation: Hire new employee to regulate Games of Chance

Response/Justification: The administration does not believe at this time that an additional employee would be necessary for facilitating Games of Chance supported by our response to the Auditor's findings. The City does not allow 50/50 Raffles to go entirely unregulated and we believe a single individual can continue to issue and regulate these licenses at this time.

Finding: 50/50 Raffles and other games of chance run entirely unregulated New York State law regulates gambling and games of chance. (Exhibits 2, 3) These games involve risk which must be managed, and the state's rules establish procedures for monitoring these games to ensure their integrity and fairness. The audit found that games of chance, especially 50/50 raffles, operate unregulated across the City. 50/50 raffles take place at many minor league sporting events in the City, with prize pools sometimes exceeding \$1,000. (Exhibit 35) Other raffles, sweepstakes, and games where participants risk money for a chance to win goods and services are held by bars, churches, and community groups. (Exhibit 36) Activities where individuals risk money for a chance at winning a prize are required to be licensed under New York State law to protect the fairness and the integrity of the game. Additionally, the City is required to remit a portion of that revenue to New York State. By not licensing these games of chance, doing proactive outreach or reactive enforcement, the City is failing to meet obligations required under state law. This increases potential risk and liability for the City from state regulators in the future.

Response/Justification: Exhibit 35 shows a raffle being advertised for the Rescue Mission, this organization does have a 50/50 Raffle licenses with the City of Syracuse (see exhibit A) Exhibit 36 shows a raffle being advertised at St. Patrick's Church, under the guidelines for conducting raffles from the NYS Gaming Commission we do not license or collect funds for 50/50 Raffles that earn less than \$5,000 in a single raffle or for less than \$30,000 in proceeds for the calendar year (see exhibit B). Our Licensing Coordinator has recently received a license application from St. Patrick's church for a raffle they'll be holding late in July this year (see exhibit C).

Recommendation: Establish and formalize a process for appeals of revoked, suspended, or denied licenses.

Response/Justification: The right to an appeal is a legal determination. The administration agrees that to the extent a party has a right to appeal, there should

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be a clear process in place. The Central Permit Office will work in collaboration with Corporation Council as well as the Department of Finance to evaluate which licenses should have an appeal process as well as identifying such process. The Central Permit Office will seek to amend Ordinances as necessary following the above review and determination.

Recommendation: Establish an Ordinance enforcement tip line

Response/Justification: The administration recognizes that providing our constituents with avenues with which they can express concerns and alert the City to businesses operating without appropriate licenses is a useful tool in the enforcement of our licenses and ensuring quality of life for our constituents. The administration believes we have set in place a number of avenues with which our constituents can do this already: anyone can call our Codes line where other complaints already come in as well as the non-emergency police line; and, SYRCityline has a mobile application as well as a call-in line that constituents can use to make complaints or express concerns. The administration does not believe there's a need to establish a dedicated line at this time.

Recommendation: Assign or hire dedicated experts to program manage the more than 100 programs used by City staff

Response/Justification: The Office of Analytics, Performance & Innovation includes the City's Digital Services team, which is responsible for most of the SaaS (software as a service) systems implemented by the City. The Digital Service team does currently provide project management support for Camino and they do provide program management for our SaaS products city wide.

Finding: Software redundancy and siloing are too common; City lacks comprehensive plan for programs and software

Response/Justification: The administration agrees the effective governance of software is essential for a sustainable and effective modernization of city services. The administration also acknowledges that more can and should be done to avoid duplicative and siloed applications. The City has a focused strategy to centralize all software purchasing, deployment, and license management. Over the past year, the City has designated an application portfolio manager, to ensure the appropriate procurement, purchasing and payment of software systems. Through this process, a dozen of systems this year have been either discontinued or marked to be discontinued by their next

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payment cycle due to lack of use or duplicity. In addition to that, the Office of Analytics, Performance and Innovation continues to update and ensure the completion of the City's digital transformation plan. For new additions to the technology stack, a review process is in place. The administration invites any feedback regarding specific systems or technology that would increase the effectiveness of our services or decrease our software expenditures.

Finding: City has no dedicated project manager for Camino implementation

Response/Justification: The City Auditor reached out to Camino's parent company (Clarity), who provided inaccurate information. We do have a roadmap for Camino implementation which was shared with the City Auditor. We also have dedicated subject matter experts for the system in house on the Digital Services team. When asked for view-only access, we were not able to provide that as we are reasonably limited in our abilities to manipulate the system as we could affect other jurisdictions that utilize the product as well.

Recommendation: Establish policies for the collection, storing, transit, and deposit of payments

Response/Justification: The administration acknowledges the need to establish comprehensive policies for the collection, storing, transit, and deposit of payments. The Department of Finance will work with Central Permit Office staff to formalize and standardize procedures of when Central Permit Office receipts needed to be transported to the City Payment Center for deposit.

Recommendation: Reconcile payments received against actual activity which generated the revenue

Response/Justification: To address this finding, the Department of Finance, specifically the Bureau of Accounts, will implement a quarterly reconciliation process that involves cross-referencing payments with corresponding revenuegenerating activities on a regular basis. This will include reconciling to IPS, Camino, and other permit/licensing billing spreadsheets.

Recommendation: Require cash reports be accompanied by supporting backup documentation proving the source of the funds

Response/Justification: The administration acknowledges the internal audit finding

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regarding the necessity of requiring cash reports to be accompanied by supporting backup documentation proving the source of funds. In response, the Finance Department will implement a new policy mandating that all cash reports include detailed and verifiable documentation that clearly outlines the origin of the funds. This will include receipts, invoices, or any other relevant documents that substantiate the cash entry. Additionally, the Finance Department will conduct training sessions for all relevant staff to ensure they understand the importance of this requirement and are proficient in maintaining accurate records.

Recommendation: Update cash reports form, create electronic format

Response/Justification: The administration acknowledges the importance of this recommendation in enhancing our financial reporting processes. To address this, the Finance Department will prioritize updating the existing Cash Report Form, specifically in an electronic format, that will streamline data entry, improve accuracy, and facilitate easier access and analysis of financial information. However, the Finance Department acknowledges that the updated cash report is only an interim solution; as part of finance centralization, they are building out the PeopleSoft Accounts Receivable module, the long-term goal is for all City invoicing to be performed in this module opposed to cash reports.

Recommendation: Charge and NSF (non-sufficient funds) fee anytime a check bounces

Response/Justification: The administration appreciates the internal audit team's identification of the need to charge a Non-Sufficient Funds (NSF) fee whenever a check bounces. To address this finding, the Department of Finance plans to submit legislation to institute a \$30 fee for any NSF check received by the City. If approved by the Common Council, this policy will be communicated to all relevant departments, and staff training will be conducted to ensure compliance.

Recommendation: Ensure Commissioner of Finance controls all City bank accounts

Response/Justification: The administration acknowledges the audit finding highlighting the need for the Commissioner of Finance to control all city bank accounts. We recognize the importance of centralized financial oversight to ensure accountability, transparency, and security of city funds. Immediate steps are being taken to review and realign our current practices, ensuring all bank accounts fall

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under the direct control of the Commissioner of Finance.

Recommendation: Perform compliance checks before approving licenses and permits; applicants should be current on all City charges

Response/Justification: The administration understands and agrees that compliance checks are a critical and necessary part of the approval process for our license applicants. Compliance checks for each license is detailed in each ordinance, which is currently followed. The review is inclusive of all items above and recognizes that some of these items such as sewer and sidewalk charges are part of the tax delinquency search, which simplifies the compliance check.

Recommendation: Fine businesses for failure to properly display a license or permit

Response/Justification: The administration believes that implementing a fee for failure to properly display the license is an unnecessary punitive measure for businesses. We can provide more detailed information about display requirements for our License holders and leverage our Code Enforcement officers to prompt businesses during Certificate of Use inspections that their licenses need to be properly displayed.

Recommendation: Do more to protect the public against credit card skimmers, third-party apps, and other credit card machinery

Response/Justification: These crimes are pursued by law enforcement at every level. Depending on the scope and magnitude it could fall to local police, state police or the FBI/Treasury. The Attorney General's Office may also participate. The administration will continue to exercise vigilance over its systems, physical and digital, to ensure constituents' security while conducting City business. We will also maintain and strengthen relationships with law enforcement at every level of government who carry the primary responsibility for pursuing criminals attempting to exploit payment mechanisms.

Recommendation: Formalize and codify waivers of fees for events including the St. Patrick's Day Parade

Response/Justification: The administration agrees with this recommendation. The

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Central Permit Office will work with the relevant departments and the Common Council to establish a clearer and more consistent waiver process.

Other Findings

Finding: Licenses approved without proper signoffs and missing paperwork

Response/Justification: The Central Permit Office has reviewed the mentioned applications that were provided to the City Auditor and found the food truck Ordinance does not require the applicant to provide vehicle insurance for the food truck, and the Certificate of Use Ordinance does not require workers compensation insurance to be provided. Some of these applications were found with these documents because they were provided by the applicant despite not being required. Additionally for Taxi Licenses all the proper fingerprint documentation was collected as required by the Ordinance; these documents are stored with SPD Ordinance Enforcement in a system of record called eJustice.

Finding: License approval times are not consistent

Response/Justification: As acknowledged during the audit, there was a lag in coverage for the Licensing Coordinator position last spring due to that individual moving to another department. Another internal staff member was tasked with managing the Licensing function as well their other duties assigned to them. During that time licenses continued to be processed, albeit at a slower rate. We are now fully staffed and once again approving and processing applications timely and consistently.

Finding: City licenses revenue down \$135,000, more than 80%, since 2016

Response/Justification: The administration identifies several attributes that have led to this decline in License revenue including the global pandemic. During COVID we issued refunds for Certificate of Use and Entertainment licenses to try and alleviate some of the lost revenue for our businesses here in Syracuse; please see exhibits D and E for the refunds. Many businesses closed their doors temporarily or permanently due to the pandemic which resulted in less licenses being obtained. During the period that was audited, significant improvements have been implemented to address these deficiencies.

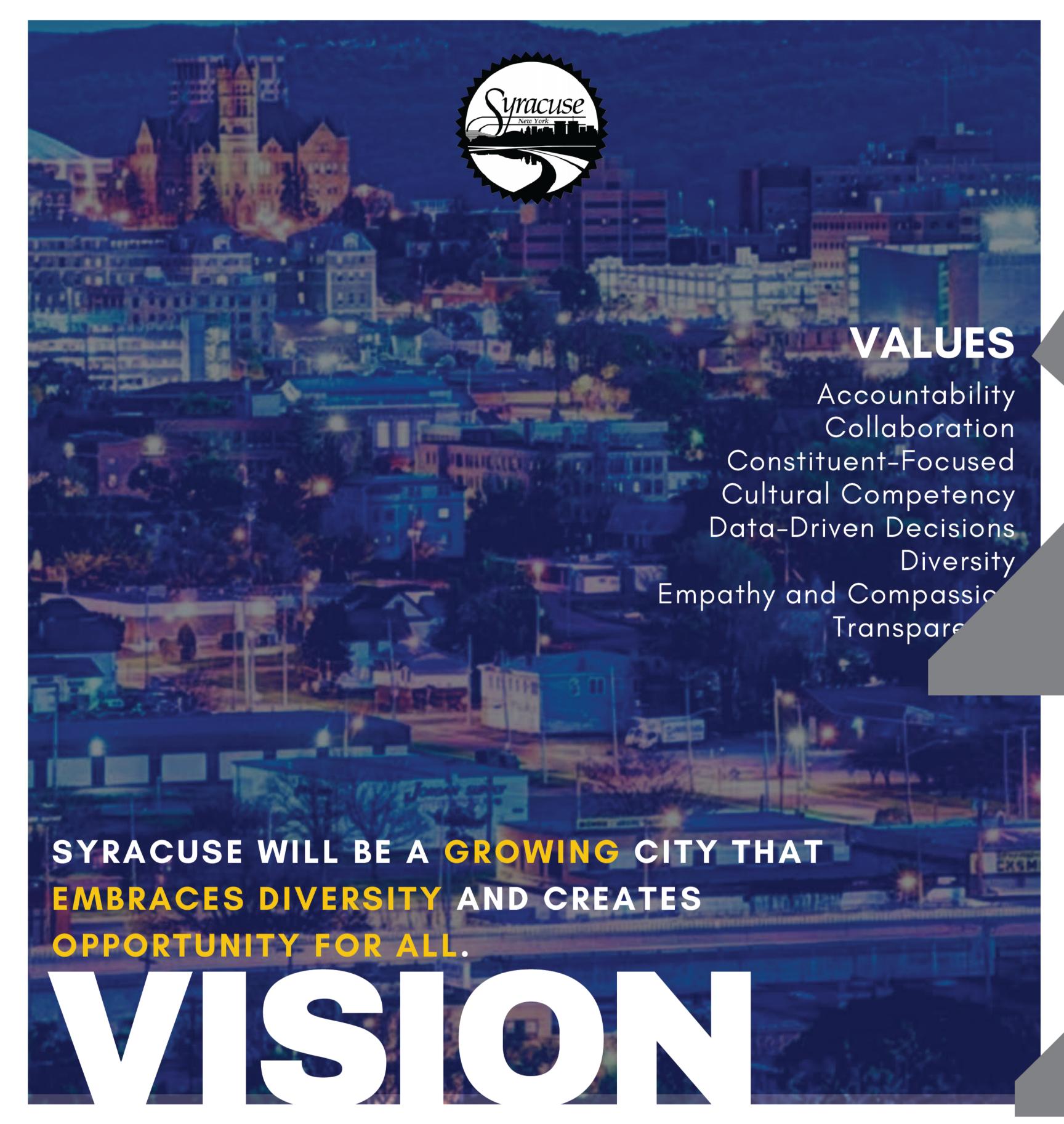
Cc: Mayor, Ben Walsh

26 July 2024

Topic: Licensing Audit

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Deputy Mayor, Sharon Owens
Corporation Council, Susan Katzoff
Chief Administration Officer, Frank Caliva
Chief Operations Office, Corey Driscoll-Dunham
Director of City Initiatives, Greg Loh
Commissioner of Finance, Michael Cannizzaro
Commissioner of Department of Public Works, Jeremy Robinson
Chief of Fire, Michael Monds
Chief of Police, Joeseph Cecile



MISSION: As a model of innovation and citizen engagement, the City of Syracuse will consistently deliver high-quality customer experiences through proactive and efficient service.



Gaming Commission

Division of Charitable Gaming

GC-5: License to Conduct Games of Chance CALENDAR YEAR: 2024

| Please Check: Bell Jar _ Games of Chance Identifica | | | | Conspicu | cense Must Be ously Displayed onduct of Games |
|---|--------------------------|---|-----------------------------|-------------------|---|
| | | 101 100 102 | | | onduct of Games |
| Municipal License Number | 2024-06 | | Amount of Fee | Paid: \$25.00 | |
| Name of Organization: Re | scue Mission Alli | ance of Syracı | ıse, NY | | |
| Address of Organization: 1 | 55 Gifford St | | Syracuse | | 13202 |
| | Street Address | | City/Town/Ville | age | Zip Code |
| Address Where Games will | be Conducted: 155 | | Syracuse | | 13202 |
| Entire Net Proceeds to be do | evoted to the following | Street Address specific lawful pur | City/Town/Villa pose(s): | ige | Zip Code |
| building maintenence & | | | | | |
| Des Oistans Materia Ohios | | nes of Members in C | 10000 | N | |
| Dan Sieburg, Victoria Shires, | Traci Faulkner | | Lee C | Glover, Horace | vvnite |
| John McCabe, Chris Gardner, | Andrew Maxwell | | David | d Allyn | AVIMINA DDIZE |
| LICENSE PERIOD DATE | HOURS | TY | PE(S) OF GAME | | AXIMUM PRIZE arting/Game Bank) |
| 01/01/2024 - | | | Raffle | | |
| 12/31/2024 | | | | | |
| RAFFLE DRAWING DATE D | RAWING TIME | DRAWING LO | OCATION | | OF RAFFLE PRIZES |
| | | | Are all and a second | | |
| THE MAXIMUM AMOUNT OF PRIZES T FOR CASINO GAMES IS \$500 (4 GAMES | | | | HEEL SHALL NOT E | TO BE AWARDED FOR EACH XCEED \$10,000 AND NO |
| NUMBER OF GAMES | | | | | NUMBER OF WHEELS |
| THE TOTAL AMOUNT OF PRIZES FOR EAR NOT EXCEED \$6,000 AND NO STROLE PRE Issued by: (Name of M | ZE SHALL EXCEED \$1,000. | 1 Title | LANS AND RULES A | BE PLAYED IN ACCO | ordance with state nces or laws |
| Date: - - 24 | | Sign | ature: | PA |) |
| Page 1 of 1 | One Broadway C | enter, P.O. Box 7500, Schenectad www.gaming.ny.gov | | , , , | GC-5 (Rev. 2/2018) 279 |



Guidelines for Conducting Raffles

A reference guide for the conduct of raffles for authorized organizations, municipal clerks, and chief law enforcement officers.

(Please refer to 9 NYCRR § 4620.22 for more details in regard to the operation of raffles.)

The Gaming Commission has adopted regulations concerning the sale of raffle tickets through the Internet or mobile device platforms. Any authorized organization wishing to conduct such a raffle will first need the approval of the Commission before doing so. Linked below is the application form for authorized organizations to complete in order to obtain Commission approval.

Gaming Commission Internet Raffle Application (available here).

Please see 9 NYCRR § 4620.22(b)(7) for current regulations. (available here).

The following restrictions apply to the conduct of all Raffle Categories:

Raffle tickets may be sold and drawings conducted on an authorized organization's premises, the premises of another authorized organization, and a games of chance commercial lessor; during its licensed casino nights or carnival games of chance events; and during its licensed bingo occasions, in accordance with Commission Rule 4620.22(b)(5).

Raffle tickets, as authorized by Commission Rule 4620.22(b)(6), may also be sold to the public outside the premise of an authorized organization, provided such sales are conducted in municipalities which have passed a games of chance local law, ordinance or resolution that are located within the same county in which the authorized organization is domiciled or within municipalities within counties which are contiguous to the county in which the authorized organization is domiciled provided those municipalities have authorized the licensee, in writing, on a Raffle Consent Form to sell such raffle tickets therein.

Raffle drawings may be conducted at the premise of an authorized organization or games of chance lessor (which may include municipally owned property) located within the same municipality in which the authorized organization is domiciled that has passed a games of chance local law, ordinance or resolution. Additionally, raffle drawings may be conducted at the premise of an authorized organization or games of chance lessor within municipalities other than the municipality in which the authorized organization is domiciled within the same county and within contiguous counties to the county in which the authorized organization is domiciled that have passed a games of chance local law, ordinance or resolution provided prior written authorization is obtained

from the clerk of the municipality in which such premise is located on a Raffle Consent Form as prescribed by the Commission.

Raffle drawings may also be conducted on premises other than that of an authorized organization or games of chance lessor located within the same municipality in which the authorized organization is domiciled and within municipalities within the same county in which the authorized organization is domiciled and within counties that are contiguous to the county in which the authorized organization is domiciled provided prior written authorization is obtained from the clerk of the municipality in which such premise is located on a Raffle Consent Form as prescribed by the Commission.

Only persons 18 years of age or older shall purchase raffle tickets, sell raffle tickets, or conduct or assist in the conduct of a raffle drawing;

No sale of raffle tickets shall be made more than 180 days prior to the date scheduled for the occasion at which the raffle will be conducted;

Payment for the purchase of raffle tickets may be made with cash, checks and debit or credit cards.

Additionally, <u>all</u> raffle ticket sales may be conducted only in municipalities that have passed a games of chance local law, ordinance or resolution and that are located within the same county in which the authorized organization is domiciled or within municipalities within counties that are contiguous to the county in which the authorized organization is domiciled, provided those municipalities have authorized the licensee, in writing, on a RCF-Raffle Consent Form to sell such raffle tickets therein.

Neither the General Municipal Law nor Commission Rules authorizes the sale of raffle tickets through the mail.

Raffle tickets can be sold by a member of an authorized organization 18 years of age or older, and may also be sold by any person 18 years of age or older that has a blood relationship or affinity with a member of the authorized organization conducting the raffle pursuant to Commission Rule 4620.22(b)(11), or by any person 18 years of age or older who has a blood relationship or affinity with a member of an authorized organization that is auxiliary to, or an affiliate of, the authorized organization conducting the raffle.

The winner of any raffle prize shall not be required to be present at the time such raffle drawing is conducted.

All proceeds derived from the conduct of raffles shall be deposited into a bank account maintained solely by the authorized organization and shall be disbursed only

for the lawful purposes of the authorized organization pursuant to Commission Rule 4624.21.

No single prize in any raffle shall exceed \$300,000. No series of raffle prizes shall exceed \$500,000. The maximum aggregate value of prizes that an organization can award in any one calendar year in all the different types of raffles, combined shall not exceed \$3,000,000.

It is prohibited to offer alcoholic beverages, real estate or an interest therein, shares of stock, bonds, securities or evidence of indebtedness or any merchandise refundable in any of the foregoing as raffle prizes.

Raffle Categories

<u>Please select the raffle category below that best describes the type of raffle your</u> authorized organization intends to conduct:

- A. If an authorized organization operates a raffle(s) in which the organization derives cumulative net raffle proceeds of at least \$30,000 from all raffles conducted during the calendar year or between \$5,000 and \$29,999 for any raffle, refer to **Category 1.**
- B. If an authorized organization operates a raffle(s) in which the organization derives less than \$5,000 in net raffle proceeds from any single raffle and less than \$30,000 in net raffle proceeds from all raffles conducted during the calendar year, refer to **Category 2**.

Raffle Category 1

When conducting raffles in which an authorized organization derives cumulative net raffle proceeds of at least \$30,000 from all raffles conducted during the calendar year, the authorized organization is required to:

- apply for and obtain a Games of Chance Identification Number from the Commission;
- submit a completed Games of Chance License application to the municipal clerk using forms GC-2, GC-2A, and GC-2B, along with a \$25.00 annual license fee and obtain a Games of Chance License issued by the municipal clerk on Form GC-5;
- file a financial statement of raffle operations on Form GC-7R with the municipal clerk and the Commission by January 30th of the following year;
- remit an additional license fee to the municipal clerk (or county fiscal officer, if applicable) assessed at 2% of the reported net raffle proceeds over \$30,000

(Note: There is no additional license fee paid on the first \$30,000 derived in net raffle proceeds.); and

 maintain a special raffle checking account into which all raffle proceeds are deposited, and from which such funds shall be disbursed only for lawful purposes in accordance with Commission Rule 4624.

If the net proceeds derived from a single raffle will be between \$5,000 to \$29,999, an authorized organization must:

- apply for and obtain a Games of Chance Identification Number from the Commission;
- file a verified statement with the municipal clerk on Form GCVS-1 attesting that the net proceeds for each raffle conducted during the calendar year will be between \$5,000 to \$29,999; and
- deposit all proceeds derived from the conduct of raffles into a bank account maintained solely by the authorized organization to be disbursed only for the lawful expenditures permitted under Commission Rule 4624.21.

Note: If, during that calendar year licensed period the cumulative net proceeds derived from the conduct of raffles reach or exceed \$30,000, the authorized organization shall, as described above, apply for a license, file a GC-7R financial statement, and remit an additional license fee.

Examples of Category 1 Raffles:

Example A: An authorized organization conducts one raffle during the calendar year to award a raffle prize of a vintage automobile. The organization derives \$35,000 in net proceeds from the raffle.

Requirements: The organization must obtain a games of chance identification number from the Gaming Commission. The organization must then submit raffle license application forms GC-2, GC-2A and GC-2B and a \$25 raffle license application fee to the municipal clerk and obtain a raffle license from the clerk on form GC-5. Before January 30 of the following year, the organization must submit financial statement of raffle operations form GC-7R to the municipal clerk and the Gaming Commission and pay to the clerk, or, if applicable, to the county fiscal officer, an additional license fee of 2% of the reported net proceeds over \$30,000 (2% of \$5,000, or \$100).

Example B: An authorized organization conducts three separate raffles during the calendar year with a cash prize of \$7,500 for each raffle. The organization derives net proceeds of \$15,000 from the first raffle; \$9,000 from the second raffle; and \$8,000 from the third raffle, a total of \$32,000 for all raffles.

Requirements: Same as example A, with payment of a 2% additional license fee of \$40 (2% of \$2,000).

Example C: An authorized organization conducts two raffles during the calendar year. The organization raffles an automobile and derives \$22,000 in net proceeds from that raffle. The organization also raffles a motorcycle and derives \$8,000 in net proceeds from that raffle.

Requirements: Same as examples A and B, with no 2% additional license fee due because net raffle proceeds did not exceed \$30,000 for the calendar year.

Example D: An authorized organization conducts one raffle during the calendar year to award a raffle prize of a boat. The organization derives \$5,000 in net proceeds from the raffle.

Requirements: The organization must obtain a games of chance identification number from the Commission and submit the raffle verified statement licensing form GCVS-1 to the licensing municipal clerk and the Commission.

Example E: An authorized organization conducts five separate raffles during the calendar year with the five different raffle prizes being a stereo, a large screen television, a riding lawn mower, an ATV and a camping trailer. The organization derives net proceeds of \$1,000 from the stereo raffle; \$2,000 from the television raffle; \$3,000 from the lawnmower raffle; \$4,000 from the ATV raffle; and \$18,000 from the camper raffle.

Requirements: Same as example D.

Example F: An authorized organization conducts only one raffle during the calendar year, a Queen of Hearts raffle that lasts 42 weeks. The organization derives net proceeds of \$29,000 from the raffle.

Requirements: Same as examples D and E.

Example G: An authorized organization conducts two raffles during the calendar year, one for a \$10,000 cash prize and one Queen of Hearts raffle that lasts 24 weeks. The organization derives net proceeds of \$8,000 from the cash raffle and \$21,000 from the Queen of Hearts raffle.

Requirements: Same as examples D, E and F.

Raffle Category 2

When conducting raffles in which an organization derives less than \$5,000 in net raffle proceeds from any single raffle and less than \$30,000 in net raffle proceeds from all raffles conducted during the calendar year, the organization is required to, following

an examination of its charter, certificate of incorporation or constitution, have the organization's principal officers make a self-determination in good faith that the organization meets the qualifications of an "authorized organization" as that term is defined in General Municipal Law section 190-a(2).

All proceeds derived from the conduct of raffles shall be deposited into a bank account maintained solely by the authorized organization to be disbursed only for the lawful expenditures permitted under Commission Rule 4624.21.

Note: If, during the course of a calendar year in which raffles are conducted, an authorized organization derives net raffle proceeds of at least \$5,000 from any single raffle or at least \$30,000 in net raffle proceeds from all raffles conducted during the calendar year, the authorized organization shall apply for and obtain a Games of Chance Identification Number from the Commission and follow the applicable licensing and filing requirements outlined in Raffle Category 1, as described above.

Examples of Category 2 Raffles:

Example A: An authorized organization conducts a 50/50 raffle every Saturday night at its club during the calendar year on the 52 separate Saturday nights of the calendar year. The organization derives net proceeds of \$200 from each separate 50/50 raffle.

Requirements: There are no games of chance/raffle registration, licensing or financial reporting requirements. The organization must make a self-determination that the organization qualifies as an authorized organization pursuant to General Municipal Law Article 9-A and the organization must be domiciled in a municipality that has enacted a local games of chance law or ordinance to be eligible to lawfully conduct its raffles pursuant to all applicable games of chance/raffle laws and rules.

Example B: An authorized organization conducts two separate raffles during the calendar year, one for a \$1,000 gift certificate to the local department store and one for a \$500 gift certificate to the local grocery store. The organization derives net proceeds of \$4,500 from the department store raffle and \$3,000 from the grocery store raffle.

Requirements: Same as example A.

Example C: An authorized organization conducts two 50/50 raffles during the calendar year, one in the spring and one in the autumn. It also conducts a Queen of Hearts raffle that lasts 21 weeks. The organization derives net proceeds of \$3,200 from the first 50/50 raffle; \$4,100 from the second 50/50 raffle; and \$5,000 from the Queen of Hearts raffle.

Requirements: Same as examples A and B.



NEW YORK STATE OF OPPORTUNITY. Commission

Division of Charitable Gaming

286

GC-5: License to Conduct Games of Chance CALENDAR YEAR: 2024

| Please Check: Bell Jar Casino Games Raffle This License Must Be Conspicuously Displayed |
|--|
| Games of Chance Identification Number: 51-101-040-01843 During Conduct of Games |
| Municipal License Number: 3024-09 Amount of Fee Paid: \$25.00 |
| Name of Organization: ST. Patrick's Church |
| Address of Organization: 216 N LOWELL AVE SYVACUSE 13204 Street Address City/Town/Village Zip Code |
| Address Where Games will be Conducted: 216 N LOWEI AVE SYVOCUSE 1320+ |
| Street Address City/Town/Village Zip Code Entire Net Proceeds to be devoted to the following specific lawful purpose(s): |
| Fundraiser in support of ST. Patrick's Church |
| Timothy Gaughan Patricia Wilsch Karen Boyle |
| Father Kevin Maloney LICENSE PERIOD Shella Gaughan MAXIMUM PRIZE |
| DATE HOURS TYPE(S) OF GAMES (Starting/Game Bank) OSINO 120-4-10 OSINO 120-4-10 OSINO 120-4-10 |
| July 20th - Casino Raffle - |
| |
| |
| RAFFLE DRAWING DATE DRAWING TIME DRAWING LOCATION AMOUNT OF RAFFLE PRIZES (Cash or Merchandise Prizes at Fair Market Value) |
| July 20th 21:00 alle NLOWell Ave - |
| THE MAXIMUM AMOUNT OF PRIZES TO BE AWARDED THE MAXIMUM AMOUNT OF PRIZES TO BE AWARDED FOR EACH FOR CASINO GAMES IS \$500 (4 GAMES) OR \$400 (5 GAMES) MERCHANDISE WHEEL SHALL NOT EXCEED \$10,000 AND NO SINGLE PRIZE SHALL EXCEED \$250 |
| NUMBER OF GAMES NUMBER OF WHEELS |
| THE TOTAL AMOUNT OF PRIZES FOR EACH BELL JAR DEAL SHALL NOT EXCEED \$6,000 AND NO SINGLE PRIZE SHALL EXCEED \$1,000. ALL GAMES SHALL BE PLAYED IN ACCORDANCE WITH STATE LAWS AND RULES AND LOCAL ORDINANCES OR LAWS |
| Issued by: City Of Jyracuse Title: Licensing Coordinator (Name of Municipality) |
| Date: 7-3-24 Signature: CORINNE HUBBARD Commissioner of Deeds |
| Page 1 of 1 One Broadway Center, P.O. Box 7500, Schenectady, NY 12301-7500 www.gaming.ny.gov City:p\$ SREQ.Q/\$88) www.gaming.ny.gov |

www.gaming.ny.gov



CENTRAL PERMIT OFFICE

A DIVISION OF THE DEPARTMENT OF NEIGHBORHOOD AND BUSINESS DEVELOPMENT

CITY OF SYRACUSE, MAYOR BEN WALSH

Michael Collins
NBD Commissioner

February 2022

Mediha Salkic Director of Central Permit Office

Dear Business Owner,

Jacob R. Dishaw Director of Code Enforcement

You are receiving this letter as a recent applicant for a **Certificate of Use** as a bar and/or restaurant in the City of Syracuse. In the wake of the economic hardship caused by the Coronavirus Covid-19 pandemic, the City of Syracuse, in partnership with the Syracuse Common Council have elected to waive fees for Certificate of Use for bars and restaurant applications received on or following March 7, 2020 until March 2022. Please note this is a one-time waiver of the fee intended to provide direct assistance to small businesses like yours who have faced immense challenges over the last 16 months.

Thomas SteinbergAssistant Director of
Code Enforcement

Enclosed with this letter is payment that was submitted with your application. Please note that while this fee is being returned on a one-time basis, all standard requirements set by the City of Syracuse, including any required inspections or documentation, are still necessary to remain in compliance.

If you have any questions, please contact Pam Dalton, *Licensing Coordinator* in the City's Central Permit Office at 315-448-8253 or PDalton@syrgov.net. We appreciate your assistance, cooperation, and commitment to our community in the midst of a challenging and unprecedented year.

Thank you,

mank you,

Pamela Dalton Licensing Coordinator

Central Permit Office 201 East Washington St City Hall Commons Room 101 Syracuse, N.Y. 13202

Office 315 448 8600 Fax 315 448 8615

www.syrgov.net



CENTRAL PERMIT OFFICE

A DIVISION OF THE DEPARTMENT OF NEIGHBORHOOD AND BUSINESS DEVELOPMENT

CITY OF SYRACUSE, MAYOR BEN WALSH

Michael Collins
NBD Commissioner

September 8, 2021

Mediha Salkic Director of Central Permit Office

Hi,

Jacob R. Dishaw Director of Code Enforcement

Thomas SteinbergAssistant Director of
Code Enforcement

You are receiving this letter as a recent applicant for an **Entertainment License** for an establishment located within the City of Syracuse. In the wake of the economic hardship caused by the Coronavirus Covid-19 pandemic, the City of Syracuse, in partnership with the Syracuse Common Council have elected to waive fees for Entertainment License applications received during **the 2021 calendar year**. Please note this is a one-time waiver of the fee intended to provide direct assistance to small businesses like yours who have faced immense challenges over the last 16 months.

Enclosed with this letter is your payment that was submitted with your application. Please note that while this fee is being returned on a one-time basis, all standard requirements set by the City of Syracuse, including any required inspections or documentation, are still necessary to remain in compliance.

If you have any questions, please contact Pam Dalton, *Licensing Coordinator* in the City's Central Permit Office at 315-448-8253 or PDalton@syrgov.net. We appreciate your assistance, cooperation, and commitment to our community in the midst of challenging and unprecedented year.

Central Permit Office 201 East Washington St City Hall Commons Room 101 Syracuse, N.Y. 13202

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HON. ALEXANDER MARION, MPA CITY AUDITOR

Auditor's Response to Administration Review of Draft Report

The Office of the City Auditor appreciates the time and effort put into a thorough and thoughtful response to Audit#2024-01: An Audit of the City of Syracuse Licensing and Permitting Operations. In response to the Administration's comments, several modifications have been made to the final report, which are detailed below.

- Additional comments have been added to the overall finding: Central Permit Office Needs to Do More to Communicate New Location
- Additional comments have been added to the organizational finding: The Central Permit office (CPO) operates within the Division of Code Enforcement, with a license coordinator reporting to the Deputy Director of the CPO.
- The compliance finding related to 50/50 Raffles and Games of Chance has been removed. Upon further review of the documentation provided during the scope of the audit and in the administration's response, the Office of the City Auditor has deemed that this finding is not accurate. Subsequently, the operational recommendation related to Games of Chance has been removed. Upon further review of the documentation provided during the scope of the audit and in the administration's response, the Office of the City Auditor has deemed that this recommendation is not necessary.
- Additional comments have been added to the compliance finding: License Renewal Efforts Don't Go
 Far Enough But Provide a Significant Opportunity
- Additional comments have been added to the organizational recommendation: Update and Increase
 Signage And Information At Central Permit Office, Former City Hall Commons, City Hall, And Website