EXPENSE REIMBURSEMENTS (Employees)

I. Authorization

The District authorizes necessary and reasonable expenditures and reimbursement thereof to members of the school staff authorized for such travel by the Superintendent of Schools. Such expenses may be incurred and approved in line with budgetary allocations for specific expenses.

District staff who incur expenses in carrying out authorized duties will be reimbursed provided that (1) the expense was approved in advance of being incurred by the Superintendent or his/her designee, (2) the expense is within the approved budget, and (3) a properly filled-out and approved voucher and such supporting receipts as are required by the business office are submitted.

II. Mileage and Overnight Stays

Mileage for use of a personal vehicle for official purposes will be paid reimbursed at a rate authorized by the District pursuant to the IRS regulated mileage rate or as provided in a collective bargaining agreement. Tolls will be reimbursed at actual cost. Overnight accommodations will be reimbursed for the minimum period reasonably necessary to complete the District-related business, and in an amount deemed by the Superintendent or his/her designee to be reasonable for decent lodging in the locale.

III. Meal Reimbursement (Comptroller Subsection 8.1025)

A. Meal expenses may not be reimbursed while an employee is performing the usual duties of the office except when:

1. The official/employee is on approved overnight travel or approved conferences or training sessions;

2. The official/employee is prevented from taking the time off for a meal due to a pressing need to complete business at hand and the business is of an immediate nature and conducting business at mealtimes is essential.

B. The cost of meals for any guest may not be reimbursed except in certain circumstances unless the meal promotes a valid District purpose, such as a
EXPENSE REIMBURSEMENTS (Employees)

business luncheon with other government officials or community leaders for discussion or negotiation of a matter that is or will be before the Board for action.

C. For meal expenses to be reimbursed, a Claimant Voucher Expense Form must be submitted along with a restaurant receipt filled out by the restaurant host or waiter. Credit card receipts are not acceptable. The meal expense form includes date, described purpose, a statement that alcoholic beverages are not part of the requested reimbursement; and, if applicable, the location outside of the stationed District, length of travel, and guests present as per II (B) above.

D. Employees are to exercise prudence in purchasing meals for which reimbursement requests will be submitted.

E. The purchase of alcoholic beverages is not reimbursable.

IV. Expense Voucher Required

A. Claimant Voucher Expense Form will be used for meetings, mileage, telephone calls, conference reimbursement, and other approved job-related expenses.

B. Employees must complete the Claimant Voucher Expense Form, attach receipts, if applicable, and forward one (1) copy to the appropriate administrator. One (1) copy shall be retained by the employee.

C. Expense vouchers must be submitted within ninety (90) calendar days after the expenses were incurred, or by the last working day of the fiscal year, whichever is earlier. However, any expenses incurred during the last fifteen days of June must be submitted by July 15.

New Hartford Central School District
Adopted: 06/20/06
Revised: 06/03/08, ______
New Hartford Central School District
SUPERINTENDENT’S REGULATION
Draft 10/08/2014
FISCAL MANAGEMENT
CLAIM FORM
4301.1 Revise/renumber 4024.2

To: Board of Education
New Hartford Central School District
33 Oxford Road
New Hartford, New York 13413

Payee:

Date:
S.S. No.

*Receipts must be attached. Social Security # included and Claim form Certified

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<th>DESCRIPTION OF EXPENSES</th>
<th>AMOUNT</th>
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PAYEE MUST SIGN THIS CERTIFICATE: This is to certify that the materials and/or services charged included in the above claim amounting to $__________ have been actually performed for, furnished and/or delivered to the above named BOARD OF EDUCATION; that the charges therefore are true and just, and that no payments have been made therefore except as included therein.

SIGNATURE OF PAYEE

Date:

APPROVAL OF SCHOOL OFFICIAL: I hereby certify that this bill has been rendered in accordance with the contract, agreement, or accepted estimate, and the work has been completed and/or the materials delivered satisfactory.

Date:

Approved by the Superintendent:
New Hartford Central School District
Adopted: 06/03/08
MILEAGE CLAIM FORM

NEW HARTFORD CENTRAL SCHOOL DISTRICT
BUSINESS OFFICE
29 Oxford Road
New Hartford, NY 13413

To: Board of Education
New Hartford Central School District
33 Oxford Road
New Hartford, New York 13413

Payee: ________________________________ Date: __________________________
S.S. No.: __________________________

*Receipts must be attached. Social Security # included and Claim form Certified
**Please refer to New Hartford Central School Policy #4024 4303

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Payee must sign this certificate: this is to certify that the materials and/or services charged included in the above claim amounting to $ ______ have been actually performed for, furnished and/or delivered to the above named BOARD OF EDUCATION: that the charges therefore are true and just, and that no payments have been made therefore except as included therein.

Signature of Payee: __________________________ Date: __________________________

APPROVAL OF SCHOOL OFFICIAL: I hereby certify that this bill has been rendered in accordance with the contract, agreement, or accepted estimate, and the work has been completed and/or the materials delivered satisfactory.

Date: ____________________________

Approved by the Superintendent:
New Hartford Central School District
Adopted: 06/03/08
MEALS AND REFRESHMENTS

I. The Board of Education recognizes that from time to time it may be appropriate to provide meals or refreshments at District meetings or events, which are being held for an educational or business purpose. The provision of meals or refreshments in such situations may serve to foster a positive work environment, enhance collegiality and increase efficiency during the normal working day.

II. Permissible meal and/or refreshment expenditures include, but are not limited to, activities such as staff orientation and staff development days, staff and Board recognition programs, committees or working groups whose duties extend through a meal hour or beyond the normal working day, and other specific circumstances under which working through the meal period is advantageous to the District.

III. When meals or refreshments are ordered, the person making the request shall indicate the date, time and purpose of the meeting.

Any expenditure made for such meals or refreshments should be properly documented with a vendor receipt (credit card receipt is not sufficient), itemized whenever possible, and submitted to the District’s business office for the purposes of audit and possible reimbursement.

IV. Reimbursement for meals related to travel and/or attendance at staff development programs shall be regulated by the District’s policy and procedures pertaining to Expense Reimbursement.
FISCAL MANAGEMENT

USE OF PHONES

I. Cell Phones:

A. It is recognized that specific district employees will be required to carry cellular telephones to meet their job responsibilities.

B. Personal Use of Cellular Phones:

1) Cell phones assigned to employees are not meant to be "personal family cell phones." However, occasionally it may be necessary to use a cell phone assigned by the District to make contact with a family member or another personal contact.

2) Monthly, each employee who is assigned a cellular phone shall receive a copy of the cellular phone usage record. The person shall review the record and identify charges for personal calls. Charges for cellular phone usage beyond the allotted minutes due to personal calls will be reimbursed by the employee to the District. The personal phone call charge will be based on the total number of personal phone call minutes multiplied by the per minute charge.

3) Each employee will reimburse the District for cellular telephone charges incurred that are not of a business nature. Reimbursement will occur within fifteen (15) school days of notice.

C. At least once per year, the Business Office shall evaluate the effectiveness of the cellular telephone plan.

II. Employees must take proper care of cell phones and take all reasonable precautions against damage, loss, or theft. Any damage, loss, or theft must be reported immediately to the Business Office. Employees who use district-owned cell phones may be liable for damages or loss which occurs during the period of use.

III. Reimbursement of Long Distance Phone Calls Made on an Office or Classroom Phone:

By the first of each month a Personal Long Distance Telephone Call Log shall be submitted by each staff member who used a phone for personal long distance calls the previous month. All personal long distance calls shall be listed. The log is to be submitted to the Business Office. An invoice will be created based on the log and returned to the employee. The employee will have fifteen (15) school days after receipt of the invoice to render payment.

New Hartford Central School District
Adopted: 06/20/06, 03/18/08
Revised: _______
USE OF DISTRICT VEHICLES

I. Vehicle Use

A. District vehicles shall not be used for personal use unless so authorized by the District.

B. District owned or leased vehicles may be made available for official travel by District personnel upon approval of a building administrator or supervisor.

II. Approval Process

A. A Transportation Request (Regulation 4304.1 No. 4063+) is submitted by the employee to a building administrator or supervisor.

B. Upon signed approval by the building administrator or supervisor, the vehicle may be scheduled with the Transportation Supervisor.

A building administrator or supervisor may approve work day use of a vehicle up to a semester at a time for an employee who must use a District vehicle on a regularly scheduled basis. (Ex.: student worksite supervision)

C. All Overnight use of a vehicle must be approved by the Superintendent of Schools after review and use approval by the building administrator or supervisor.

D. A Daily Vehicle Report concerning the condition of the vehicle shall be submitted after each day of use to the Bus Garage along with the vehicle keys. The Transportation Supervisor will review and maintain such records.

III. Transporting Students by District Personnel

A. Students shall be transported by District personnel in District vehicles that have a current valid sticker evidencing New York State Department of Transportation approval. No other means of transportation is permitted except as specifically authorized by Policy.

B. The Superintendent of Schools or designee may, in an emergency, and only in the event a District vehicle is not available, authorize an employee to use a personal vehicle to transport students. Such use shall be on a case by case basis and only granted with the prior written permission of the Superintendent or designee.

C. In the event of the use of a personal vehicle by an employee, the employee should be aware:
USE OF DISTRICT VEHICLES

1. That the District has a policy governing the use of personal vehicles.

2. That while driving his or her own vehicle in the course of employment the employees own insurance is primary and responsible for coverage arising out of a personal injury or property damage resulting from an automobile accident involving the employees vehicle.

3. Damages which exceed the limits of the employee’s coverage may be covered by the District insurance policies.

4. Employees are responsible for any increases in insurance premiums, fines or expenses incurred arising out of an auto accident, traffic infraction, parking violation or otherwise.

New Hartford Central School District
Adopted: 06/20/06
Revised: 06/03/08, _____
New Hartford Central School District
SUPERINTENDENT’S REGULATION
Draft 10/08/2014

FISCAL MANAGEMENT

4304.1 Renumber 4063.1

USE OF DISTRICT VEHICLE – REQUEST FORM

NAME______________________________ DATE OF REQUEST____________

DESTINATION AND PURPOSE______________________________

DATE DEPART_________________________ DATE RETURN______________________

TIME DEPART_________________________ EST. TIME RETURN_____________________

(If departure is before 6:45 a.m., do you wish to take the car home the previous night?
Yes____ No______)

(If return is after 11:45 p.m., do you wish to take the car home and return it the next morning?
Yes____ No______)

APPROVAL______________________________ Signature_________________________

DATE__________________________

OVERNIGHT APPROVAL_________________________

Superintendent__________________ Date____________________

SEMESTER APPROVAL_________________________

DURATION FROM____________________ TO________________________

DATE RECEIVED BY TRANSPORTATION SECRETARY____________________

_________SCHEDULED VEHICLE ASSIGNED________________________

_________TRANSPORTATION NOT AVAILABLE ________________

OTHER INFORMATION:_______________________________________________

Please remember to return car to same location picked-up. Lock doors. Return keys and Daily

_____________________________________________________________

Approved by the Superintendent:
New Hartford Central School District
Adopted: 06/20/06
Readopted: 06/02/08
USE OF DISTRICT CREDIT CARD

I. The District Treasurer shall establish at least one (1), but not more than 2, credit card accounts in the name of the District. The authorized holders of the cards are the Superintendent and Assistant Superintendent for Business Affairs. The credit line on each card shall not exceed $5,000. The Treasurer shall be responsible for knowing the location of each card issued.

II. Credit cards may only be used for legitimate school district business expenditures. Credit cards shall not be used to circumvent the District’s policy on purchasing.

III. Receipts should be obtained and reconciled with the monthly statements. If meals are included, those in attendance and purpose of the meeting should be provided.

IV. Credit cards, and all related benefits, bonuses, or rewards for use, are the property of the District. Users must take proper care of these credit cards and take all reasonable precautions against damage, loss, or theft. Any damage, loss, or theft must be reported immediately to the Business Office and to the appropriate financial institution.

V. Unauthorized or personal use of the credit card may result in the credit card being revoked and/or disciplinary action against the responsible party.

VI. Credit cards will be issued by the Assistant Superintendent for Business Affairs with the approval of the Superintendent of Schools.
AUDIT COMMITTEE

I. Designation of Audit Committee

The Audit Committee is comprised of one or more members of the Board of Education that have been appointed in this role.

II. Role of the Audit Committee

A. The Audit Committee operates in an advisory capacity to the Board. Committee recommendations are not binding.

B. Specific duties of the audit committee include the following:

1. Recommend external auditors.

2. Meet with the external auditors prior to the start of the annual audit.

3. Review and discuss with the external auditor any risk assessment of the District’s fiscal situation.

4. Receive and review the draft annual audit report and management letter, and assist the Board in interpreting those documents.

5. Make a recommendation to the Board on whether to accept the annual audit report.

6. Review corrective action plans that are developed and assist the Board with implementation of those plans.

7. Assist in the oversight of the internal audit function, including making recommendations regarding the appointment of the internal auditor, review significant findings and recommendations of the internal auditor, monitoring the implementation of such recommendations, and participating in the evaluation of the internal auditor.

C. The audit committee shall hold regularly scheduled meetings, and report to the Board not less than annually. The audit committee shall report to the Board at least the following:

1. The activities of the audit committee.

2. A summary of the minutes of the committee’s meetings.
AUDIT COMMITTEE

3. Significant findings brought to the attention of the committee.
4. Any indications of suspected fraud, waste, or abuse.
5. Significant internal control findings.
6. Activities of the internal audit function.
FISCAL MANAGEMENT

ANNUAL AUDIT

An audit of the accounts of the District shall be made annually by an independent certified public accounting firm selected by the Board after receiving the recommendation of the Audit Committee. The audit examination shall be conducted in accordance with generally accepted government accounting standards, and shall include all funds over which the Board has direct or supervisory control.
INTERNAL AUDIT FUNCTION

I. Implementation

The District maintains an internal audit function that operates in conformance with Section 2116-b of the Education Law. Each year, the Board shall determine, by resolution, whether the internal audit function shall be performed during the following fiscal year by:

- existing District personnel who have the required professional qualifications and who shall have no responsibility for other business operations of the District while performing the internal audit function;
- inter-municipal agreement;
- shared services obtained through a cooperative educational services agreement authorized by Section 1950 of the Education Law; or
- independent contractor(s).

The Board shall make this determination after receiving a recommendation from the Audit Committee.

II. Scope of Work

It shall be the responsibility of the person performing the internal audit function to:

- develop a risk assessment of District operations based on, at a minimum, a review of the District’s financial policies and procedures, and a test and evaluation of District internal controls;
- review and update the risk assessment each year;
- annually test and evaluate one or more areas of the District’s internal controls, taking into account risk, control weaknesses, size, and complexity of operations; and
- report to the Board significant risk assessment findings, with recommended changes for reducing identified risks and strengthening internal controls, and proposed time frames for implementing the recommendations; these reports shall be made at least annually, and more frequently if requested by the Board.

III. Independence

The person performing the internal audit function shall report directly to the Audit Committee and must meet professional standards for independence of the internal audit function.

IV. District Obligation To Establish an Internal Audit Function:

A. The District has established an Internal Audit Function that includes:
INTERNAL AUDIT FUNCTION

4) Preparation of reports, at least annually or more frequently as the Board may direct, which analyze significant risk assessment findings, recommend changes for strengthening controls and reducing identified risks, and specifying time frames for implementation of such recommendations.

B. The District may use existing District personnel to fulfill Internal Audit Functions, but such persons shall not have any responsibility for other business operations of the District while performing such functions. Personnel or entities performing the Internal Audit Function shall report directly to the Board of Education. The Internal auditor will report to the Board of Education Audit Committee at least quarterly.

C. The District’s Audit Committee shall assist in the oversight of the Internal Audit Function on behalf of the Board of Education.

New Hartford Central School District
Legal Ref: Education Law Sections 1950, 2116; and 8 NYCRR 170.12
Adopted: 06/20/06
Revised: 03/18/08
AUDITING CLAIMS FOR PAYMENT

I. Purpose and Board Responsibility

This Policy governs the payment of claims against the District of any sort, including payment for goods, services, payroll, and reimbursement of expenses. The claims audit process consists of confirming that the purchase was authorized, the product was received, the amount claimed is accurate, and there is supporting documentation. A warrant compiling approved claims is prepared and submitted to the Treasurer for payment.

The Board may appoint, by resolution, a Claims Auditor to perform this function. If the Board creates the Office of Claims Auditor, its operation shall be governed by the provisions of Part II of this Policy. If the Board does not appoint a Claims Auditor, or abolishes the office, the Board is responsible for performing the claims audit function directly.

II. Office of Claims Auditor

A. Reporting

The person performing the internal claims audit function shall report directly to the Audit Committee and must meet professional standards for independence of the internal claims audit function. The Claims Auditor shall report directly to the Board of Education and is under the Assistant Superintendent for Business Affairs' supervision. The Claims Auditor will report to the Board of Education Audit Committee semi-annually.

B. Authority

The Claims Auditor is invested with, and shall exercise full authority to audit, allow, or reject any account, charge, claim, or demand against the District.

C. Duties

1. Among the duties performed by the Claims Auditor will be those described in Regulation 4017.1, which shall be reviewed periodically with the Claims Auditor. The Board shall review the duties of the Claims Auditor position with the Claims Auditor at least annually.

2. The Claims Auditor shall be responsible to perform all of the duties imposed by law on the Board with respect to the claims auditing process, including:
   - examine demands against the District;
   - determine that the proposed payment is for a valid and legal purpose;
AUDITING CLAIMS FOR PAYMENT

• determine that the obligation was approved by an authorized District official;
• determine that the product or service for which payment is demanded was received;
• determine that the payment demanded does not exceed the available appropriation;
• determine that the voucher is in proper form, is mathematically correct, does not duplicate previously paid charges, and is in agreement with the purchase order; and
• meet other requirements established by regulations of the State Education Department and the Office of State Comptroller.

3) The powers and duties of the Board with respect to claims auditing, allowing or rejecting all accounts, charges, claims or demands against the school district shall be exercised by the Claims Auditor in accordance with the law.

4) The Board may adopt a resolution abolishing the Office of Claims Auditor at any time. If the position is abolished, the Board of Education will assume responsibility for claims auditing.

3. The Claims Auditor shall be alert to any indications of fraud, abuse, or illegal acts. If the Claims Auditor detects apparent violations of law or apparent instances of abuse by an employee or other vendor, or information that such behavior may occur, the Claims Auditor shall report directly to the Board of Education.

D. Eligibility

1. The Claims Auditor shall not be required to be a resident of the District.

2. The Claims Auditor position shall be classified as an exempt civil service position.

3. The following persons are prohibited from holding the position of Claims Auditor:

   a. a member of the Board of Education;

   b. the clerk or treasurer of the Board of Education;

   c. the Superintendent of Schools or other official responsible for business management;
AUDITING CLAIMS FOR PAYMENT

d. the person designated as purchasing agent;

e. clerical or professional personnel directly involved in accounting and purchasing functions of the school district.

f. The individual or entity responsible for the internal audit function;

g. the independent auditor responsible for the annual external audit of the financial statements; and

h. A close family member (parent, sibling or nondependent child) or an immediate family member (spouse, spouse equivalent, or dependent (whether or not related)) of an employee, officer, or contractor providing services to the District.

New Hartford Central School District
Legal Ref:   Education Law Sections 1604, 1709, 1724, 1950, 2526
Adopted:    06/20/06
Revised:    03/18/08, _____
I. INTRODUCTION

A. This Program is an integral part of the New Hartford Central School District’s (District) ongoing efforts to achieve compliance with federal and state laws relating to Medicaid billing for School Supportive Health Services (“SSHS”) and other school programs. The Program creates a comprehensive system of oversight for Medicaid billing, reporting and practices.

B. The goal of this Program is to ensure that Medicaid eligible services are properly documented and accurately billed and that services rendered, but not properly documented are not billed. Moreover, the program establishes systematic checks and balances to detect and prevent inaccurate billings and inappropriate practices in the Medicaid Program.

C. The Program shall be overseen by the District’s Medicaid Compliance Officer who shall report directly to the District’s Superintendent of Schools. It remains, however, the responsibility of each individual involved in the provision of services and the billing process, to comply with the provisions of the law.

II. MEDICAID COMPLIANCE OFFICER

A. The District shall designate annually a Medicaid Compliance Officer. The Compliance officer shall be responsible for:

1. Day to day operations of the Compliance Program.
2. Providing guidance to District employees to ensure Medicaid billing compliance;
3. Development and delivery of District in-service training on compliance issues, expectations, and maintenance of documentation for the same;
4. The coordination of system-wide and/or department-specific audits of records on an ongoing basis;
5. Communications to District employees and to service providers on any changes to the laws and regulations regarding Medicaid billing and this Program;
6. The investigation of allegations of improper billing practices and the reporting of the same.

B. The Compliance Officer shall report directly to the District’s Superintendent of Schools and shall periodically report to the Board of Education on the District’s Compliance Program.
POLICY

FISCAL MANAGEMENT

MEDICAID BILLING COMPLIANCE PROGRAM

III. COMPLIANCE

A. Billing for Medicaid eligible school services will be done in compliance with all applicable state and federal laws and regulations. Specifically, no bill for reimbursement shall be submitted unless it was actually performed and documented by the service provider.

B. The District is committed to maintaining the accuracy of every claim it processes and submits. Any false, inaccurate, or questionable claims should be reported immediately to the District Medicaid Compliance Officer.

C. False billing is a serious offense. Federal and State rules prohibit knowingly and willfully making or causing to be made any false statement or representation of a material fact in an application for benefits or payment. It is also unlawful to conceal or fail to disclose the occurrence of an event affecting the right to payment with the intent to secure payment that is not due.

D. In addition to criminal penalties, the Federal False Claims Act permits substantial civil monetary penalties against any person who submits false claims. The Act provides a penalty of triple damages as well as fines up to $10,000 for each false claim submitted. The persons involved in submitting false claims (as well as the District) may be excluded from participating in the Medicaid programs.

E. Numerous other federal laws prohibit false statements or inadequate disclosure to the government and mandate exclusion from Medicaid programs. It is illegal to make any false statement to the federal government, including statements on Medicaid claim forms. It is illegal to use the U.S. mail to scheme to defraud the government. Any agreement between two or more people to submit false claims may be prosecuted as a conspiracy to defraud the government.

F. The District promotes full compliance with each of the relevant laws by maintaining a strict policy of ethics, integrity, and accuracy in all its financial dealings. Each employee and professional, including outside consultants, who is involved in submitting charges, preparing claims, billing, and documenting services is expected to maintain the highest standards of personal, professional, and institutional responsibility. Individuals who fail to report suspected problems, participate in non-compliance behavior and/or encourage, direct or facilitate non-compliance behavior may be subject to disciplinary action in accordance with the provisions of New York law and any applicable collective bargaining agreement.
IV. EDUCATION AND TRAINING

A. It is the Compliance Officer’s responsibility is to ensure that every employee involved with the Medicaid service and billing process is educated about the applicable laws and regulations governing provider billing and documentation. Moreover, the District Compliance Program shall be shared with all employees, be available for inspection and shall be published on the District website.

B. The Compliance Officer shall also develop, oversee and/or provide in-service training on Medicaid billing and documentation requirements for all staff involved in providing and/or billing for Medicaid services periodically and at other times, including initial employment or assignment. Such training shall be mandatory and the District shall maintain records of all trainings.

V. REPORTING AND INVESTIGATION

A. Reporting

1. Every employee in the District has the responsibility not only to comply with the laws and regulations, but to ensure that others do as well.

2. Employees must report non-compliance to their immediate supervisors, or the District Compliance Officer. Supervisors are required to report these issues through established channels in Human Resources/Personnel and/or directly to the District Medicaid Compliance Officer. Calls may be made anonymously, although the District encourages employees to provide their name and telephone number so that reports may be more effectively investigated.

3. Every attempt will be made to preserve the confidentiality of reports of non-compliance. All employees must understand, however, that circumstances may arise in which it is necessary or appropriate to disclose information. In such cases, disclosures will be on a “need to know” basis only.

B. Investigation

1. The Compliance Officer will, personally or through his/her designee, investigate every report of non-compliance as soon as practicable. Investigations may include interviewing employees and/or reviewing documentation. Each employee must cooperate with such investigations.

2. Once the Compliance Officer completes an investigation, he/she will make a report to the Superintendent. The report will be the basis for the Compliance
C. Non-Retaliation

It is the policy of the District that no person shall retaliate, in any form, against a person who reports in good faith, an act or suspected act of non-compliance (although employees may be disciplined for making intentionally false reports of non-compliance). Any person who is found to have retaliated for such a report shall be subject to discipline. In addition, the Federal False Claims Act and New York State Law provide certain protections to individuals who are discharged, demoted, suspended or threatened, harassed or discriminated against by their employer in retaliation for assisting in the investigation, initiation or prosecution of a False Claims Act violation or which constitutes health care fraud under the New York State Penal Law.

D. Corrective Action/Sanctions

1. In order to make this Compliance Program effective, the Compliance Officer will have authority to impose corrective action.

2. If a service provider or employee is found to be non-compliant in a single instance or relatively insignificant percentage of cases over a short period, the Compliance Officer may require that person to undergo a session of education or training.

3. If a provider or other employee fails to comply with billing or documentation requirements repeatedly, sanctions may be more severe.

4. Plans of correction and discipline may include, but are not limited to:
   a. A requirement to undergo training;
   b. A period of required supervision or approval of documentation before bills can be issued;
   c. Expanded auditing, internal or external, for some period of time until compliance improves;
   d. Self-reporting of violations; and
   e. In sufficiently egregious cases, discipline.

5. In addition, the Compliance Officer may recommend some other appropriate course of action to correct non-compliance.
VI. AUDITING/REVIEW

A. Monitoring of compliance with billing rules is essential. The Compliance Officer must be able to ensure compliance through an understanding of current regulations and overall levels of compliance throughout the District at any given time.

B. Under this Plan, there will be both internal and external (i.e. by an independent consultant or other professional) auditing of Medicaid billing documentation. Internal auditing is done by the professional staff of the Compliance Officer, who will conduct periodic reviews.

C. The Compliance Officer may engage an external auditing firm as deemed necessary to assess the District overall compliance. All employees must cooperate fully with this effort by making themselves and/or any pertinent documents available.

D. The external auditor will report to the Compliance Officer concerning the results of its investigation. The Compliance Officer will report, in turn, to the Superintendent and the Board of Education.

VII. ONGOING ASSESSMENTS

A. The Compliance Officer will make an annual assessment of the success of this Compliance Program. That assessment will be based on the examination of results of internal audits and investigations, reports of any outside audits that may have been conducted, and or his/her own personal experience with the functioning of the Program over the previous year.

B. A summary of this assessment shall be provided to the Superintendent and the Board of Education.
GENERAL PROCUREMENT STANDARDS

I. Competitive Bidding

The District must complete a competitive bidding process that complies with General Municipal Law Section 103 before it: enters into a contract for public work that involves spending more than $35,000; enters into a purchase contract for goods or services that involves spending more than $20,000; or, enters into a lease of personal property. The bidding process shall be conducted in accordance with Policy 4501.

A. If the total purchases of a commodity, service, or technology during the twelve month period following the date of the first purchase is reasonably expected to total more than the threshold amounts described above, then the purchase shall be made through the competitive bidding process.

B. If a commodity, service, or technology is potentially subject to the bidding requirements of Section 103 of the General Municipal Law, but it has been purchased without competitive bidding in an amount less than the threshold amounts described above, then additional purchases of that commodity, service, or technology from the same provider are not permitted if the additional purchase would cause the total value of the reasonably expected purchases of that commodity, service, or technology over a twelve month period to exceed the threshold amounts for competitive bidding.

C. Pursuant to the Iran Divestment Act of 2012, each bidder or offeror must certify that they are not on the list created and maintained by the State Office of General Services (OGS).

II. Purchasing Without Competitive Bidding

Where a purchase is permitted by law to be made without competitive bidding, District personnel must make purchase decisions so as to assure the prudent and economical use of public moneys in the best interest of the taxpayers of the District; facilitate the acquisition of goods and services of maximum quality at the lowest possible cost under the circumstances; and guard against favoritism, improvidence, extravagance, fraud and corruption. The non-bid purchase process shall be conducted in accordance with Policy 4502.

III. Standardization

The Board may determine that reasons of efficiency or economy support standardization on a particular kind of equipment, material or supplies. The Board’s determination shall be adopted by a resolution that is approved by a three-fifths (3/5) vote of the full Board membership, and that explains the reasons for the standardization.

IV. Instructional Materials
POLICY

FISCAL MANAGEMENT

GENERAL PROCUREMENT STANDARDS

Pursuant to Section 200.2 of the Commissioner’s Regulations, the District shall give preference in the purchase of instructional materials to those vendors who agree to provide such instructional materials in alternative formats for students with disabilities.

V. Responsibilities

A. The Superintendent and the Assistant Superintendent for Business Affairs may develop more specific procurement procedures for the guidance of District employees that are consistent with these Policies. They shall insure that all District employees involved in purchasing and business functions are familiar with these Policies and that all District employees follow these Policies.

B. The Purchasing Agent, designated by the Board of Education, is responsible for operating the purchasing program in compliance with these procedures.

C. Each employee involved in the procurement process is responsible to become familiar with these procedures and to follow their requirements, to seek clarification and direction from the Purchasing Agent whenever they are unsure how to proceed in compliance with these Policies, and to inform the Purchasing Agent of any concerns regarding compliance.

VI. Personal Purchasing Prohibited

No goods or services shall be purchased in the name of the District, or through the District’s procedures other than goods or services purchased for use in conducting the District’s business. No one may purchase goods or services for personal use, or on behalf of any organization other than the District, through the District’s purchasing procedures.

VII. Annual Review

The Board of Education shall review these Policies and any supplemental procurement procedures adopted by the Superintendent or Assistant Superintendent for Business Affairs on an annual basis. Comments regarding these Policies and any supplemental procurement procedures shall be solicited from the District’s officers who are involved in the procurement process at least every third year.

New Hartford Central School District
Legal Ref: Sections 102, 103, 103-g 104-b, 109-a; 800 et seq., General Municipal Law; Section 207, 305 (14), 1604, 1709, 1725, 1950, 2053, 2554, 3602, 4403; 1725 Education Law; Section 163 State Finance Law; 8 NYCRR 200.2

Adopted: 09/01/92
Revised: 11/05/02, 03/02/04, 03/18/08, _____
FISCAL MANAGEMENT

COMPETITIVE BIDDING

I. Competitive Bidding Required

A. The Purchasing Agent shall insure that a competitive bidding process compliant with the General Municipal Law and these Policies is conducted prior to entering into:

1. a public works contract involving an expenditure of more than $35,000; contracts for the purchase of labor, construction, and some services fall into this category;

2. a purchase contract involving an expenditure of more than $20,000; contracts for the purchase of materials, equipment, and supplies fall into this category; or

3. a lease of personal property for a period of time not to exceed the current school year.

B. In the event that a contract combines the provision of professional services not subject to the bidding requirement, and a purchase that is otherwise subject to the bidding requirement, the District will determine whether the professional service or the purchase is the predominant part of the transaction, and proceed with the bidding process if the purchase component is predominant and is in excess of the applicable monetary threshold.

II. Competitive Bidding Not Required

A. Contracts for public work or the purchase of supplies, material, or equipment may be entered into without competitive bidding in the case of a public emergency arising out of an accident or other unforeseen occurrence that creates circumstances that require immediate action to preserve public property or the life, health, safety, or property of District residents, employees, or students.

B. Surplus and second-hand supplies, materials, and equipment may be purchased without competitive bidding from the federal government, the State of New York, or another political subdivision or district within the State.

C. Competitive bidding is not required when there is, in fact, only one source for the product or service being purchased. This exception includes monopoly markets, such as public utilities.

D. Competitive bidding is not required for the procurement of professional services which, because of the specialized or confidential nature of the services, do not lend themselves to procurement through competitive bidding.
COMPETITIVE BIDDING

III. The Bidding Process

A. The Purchasing Agent has the authority to prepare, advertise and open bids for all purchase contracts and contracts for public work.

B. A Notice to Bidders shall be published in the officially designated newspaper commencing not less than five (5) days prior to the bid opening date. Notices may also be mailed to potential bidders sufficiently in advance of the scheduled bid opening date to permit timely preparation and submission of bids.

C. Bids shall be received until the opening time designated in the official notice. All bids shall be date stamped upon receipt and shall be kept in a safe, locked location until the time of opening.

D. Bids may be received through electronic format where the Purchasing Agent has confirmed that the District’s hardware and software enable it to:

   1. comply with Article Three of the State Technology Law, and related regulation;
   2. document the time and date of receipt;
   3. authenticate the identity of the sender;
   4. maintain the security of the information transmitted; and
   5. maintain the confidentiality of the information of the bid or offer until the date and time of bid opening.

E. Bids shall be opened at the time and place set forth in the Notice to Bidders. There will be at least two (2) district employees present at each bid opening, including the Purchasing Agent or the Purchasing Agent’s designee. All interested parties may also attend the opening of bids.

F. After being opened, all bids shall be recorded and analyzed. The Purchasing Agent shall make a recommendation to the Board of Education regarding an award on the basis of best value (as defined in Section 163 of the State Finance Law) to a responsible and responsive bidder. Alternatively, the Purchasing Agent may recommend that all bids be rejected.

   In the event there are two or more bona fide low responsible bidders, the Board may make an award to one of the low bidders or, in its discretion, it may reject all the bids and re-advertise the purchase.

G. Bid bonds, deposits or performance bonds may be required, at the discretion of the Purchasing Agent. The need for such security can be determined on a case-by-case basis.
COMPETITIVE BIDDING

Every bid shall contain the certification, properly executed by the bidder, required by Section 103-d of the General Municipal Law.

H. Minor deviations from specifications or compliance with bidding requirements may be waived by the Board, upon the recommendation of the Purchasing Agent. The Purchasing Agent shall determine all questions of comparability or equivalency.

I. State contracts and group bids through the BOCES Cooperative Purchasing may be used to fulfill bid requirements.

New Hartford Central School District

Legal Ref: Sections 102, 103, 104-b, 109-a; 800 et seq., General Municipal Law; Section 207, 305 (14), 1604, 1709, 1725, 1950, 2053, 2554, 3602, 4403; 1725 Education Law; Section 163 State Finance Law; 8 NYCRR 200.2

Adopted: 09/01/92
Revised: 11/05/02, 03/02/04, 06/03/08, ______
I. Objective

Goods and services which are not required by law to be procured by the district through competitive bidding will be procured in a manner so as to ensure the prudent and economical use of public monies in the best interests of the taxpayers. It is the policy of the District to “shop around,” and to maintain accurate records of the efforts made by District staff to buy wisely. Alternative proposals or quotations will be secured by requests for proposals, written quotations, or verbal quotations, as set forth below.

II. Methods of Solicitation and Documentation

A. Verbal Quotations

1. Verbal quotations may be solicited by telephone.

2. A log shall be maintained by each District employee or officer who solicits a verbal quotation. The Purchasing Agent is responsible for maintaining a master log by periodically consolidating all logs kept by District employees and officers.

3. Each log of verbal quotations shall record: name, date, and time vendor was solicited; whether contact was made with the vendor and, if so, who the contact person was; what the vendor was told about the good or service being solicited; and the vendor’s response.

B. Written Quotations

1. A standard “request for quotation” shall be used to solicit written quotations (Regulation 4502.1). All vendors sent a “request for quotation” for a particular good or service shall be provided with an identical written description of the good or service being solicited.

2. Written quotations may be solicited and received electronically, provided all documentation is preserved either physically or electronically.

3. The Purchasing Agent shall maintain a master file of all written solicitations and all written responses.

C. Requests for Proposals (RFP)

1. Written Requests for Proposals are generally used to obtain comparable
NON-BID PURCHASING

quotations for the provision of professional and other specialized services. A Request for Proposals will contain critical details of the engagement, including the methods which the District will use in selecting the service provider, and set a deadline for the submission of written Proposals.

2. A particular Request for Proposals shall be sent to a representative sample of individuals and firms known to offer the service being purchased (e.g., architects, engineers, accountants, lawyers, underwriters, fiscal consultants, etc.). To develop a pool of candidates, the District may advertise in professional journals, canvass directories of professionals in a particular field, and make inquiries of other school districts or users of the service being sought.

3. The evaluation of responses to a Request for Proposals will consider the price quoted, any special knowledge or expertise of the service provider, the quality of the service, the staffing of the service, and suitability for the District’s needs.

D. List of Vendors

The Purchasing Agent shall maintain a list of known and acceptable vendors, grouped by category of good or service provided. Any District officer or employee initiating a purchase shall consult this list.

III. Comparable Proposals Required

A. All items and/or groups of items whose total exceeds $2,500 but is less than the limits prescribed by Section 103 of the General Municipal Law will require at least 2 written quotations from vendors. Records of quotations will be maintained.

B. Specific Categories

1. Insurance: written quotes

2. Professional services: Requests for Proposals shall be issued periodically, as determined by the Board

3. Lease of personal property: written quotations; also, before a proposed lease of personal property is presented to the Board for consideration, an analysis of the relative costs and benefits of leasing rather than purchasing shall be prepared and presented to the Board, as well as an analysis of whether the proposed arrangement is a true lease rather than an installment purchase
REGULATION

FISCAL MANAGEMENT

NON-BID PURCHASING

agreement

4. Surplus or second-hand government equipment: written quotes for comparable equipment in the market

5. Certain food and milk purchases: written quotes, and documentation sufficient to satisfy Sections 114.3 and 114.4 of the Commissioner’s Regulations

IV. Comparable Proposals Not Required

A. Emergencies

When the Board passes a resolution that an emergency situation exists, the District will make purchases at the lowest possible costs, seeking competition by informal solicitation of quotes or otherwise, to the extent practicable under the circumstances.

B. Sole Source Situations

Whenever the Purchasing Agent determines that a good or service is available only from a “sole source” supplier, the Purchasing Agent shall document, before making the purchase, the unique benefits of the patented items as compared to other items available in the marketplace; that no other item provides substantially equivalent or similar benefits; and that considering the benefits received, the cost of the item is reasonable, when compared to conventional methods.

C. Professional Services

When feasible, professional services should be retained after considering information about the prices charged by alternative service providers. However, the specialized and confidential nature of some professional services makes them unsuitable for purchase through competitive proposals. For that reason, the Board shall monitor the District’s use of professional services and periodically issue Requests for Proposals to assess the cost effectiveness of the services being utilized by the District.

D. Minor Purchases

Quotations need not be obtained prior to a purchase that is so small that the use of District resources to solicit and document the quotations would not be cost effective.

E. Purchases Through County
NON-BID PURCHASING

The procedures set forth above need not be followed when a purchase is made through any county of New York State. However, a purchase shall not be made in that manner unless the Purchasing Agent has documented that the purchase may be made upon the same terms, conditions, and specifications at a lower cost by purchasing through the county.

F. Other Special Source Purchases

1. The procedures set forth above need not be followed when a purchase is made from or through the state Office of General Services, from individuals with severe handicapping conditions as defined under the state Finance Law, or from correctional institutions pursuant to the Corrections Law.

2. The procedures set forth above need not be followed when a purchase is made of an apparatus, materials, equipment or supplies, or to contract for services related to the installation, maintenance or repair of apparatus, materials, equipment, and supplies through the use of a contract let by the United States of America or any agency, state or any other county, or political subdivision or district, if such contract was let in a manner that constitutes competitive bidding with state law and made available for use by other governmental entities.

V. Purchasing

A. Tie Quotations

In the event of tie quotations, the Purchasing Agent may award the purchase to one of the low quotations or reject all quotations and resolicit quotations.

B. Purchase Other than for Lowest Quoted Price

When a purchase is made from other than the lowest responsible dollar offeror, the documentation of the quotations shall be supplemented with a statement justifying such award. Such justification must demonstrate that the award provides for the prudent and economical use of public moneys in the best interests of the taxpayers of the District.

C. No Quotes Received

When no quotations are received despite solicitation by the means of either mail or telephone above, the Purchasing Agent should attempt to broaden the District's solicitation if at all feasible. However, where the District has taken steps to obtain quotations, the Purchasing Agent may make purchases in the open market until
conditions change.

D. Purchase Orders

1. The purpose of requisition forms and purchase orders is to provide formal documentation and authority for the purchase of goods and services.

2. The Principal, Director or Program Supervisor will be held responsible for the completion of all requisitions. Requisitions shall be sent to the Business Office to initiate a purchase order.

3. In all instances, purchase orders are to be completed before a purchase is made. The sole exception shall be in the event of an emergency.

4. The Purchasing Agent shall be responsible for the purchasing of all District materials. The Purchasing Agent shall be responsible for verifying that all laws pertaining to purchasing are complied with.

5. All purchase orders must be approved by the Purchasing Agent before the purchase is made. In no event are purchase orders to be mailed directly to the supplier without first routing through the Purchasing Agent's Office.

E. Blanket Purchase Orders:

1. Blanket purchase orders may be used when items are used in a day to day operation and cannot be pre-ordered and inventoried economically. The purpose of blanket purchase orders is to allow multiple purchases at different times up to a stated amount on a blanket purchase order.

2. The total dollar amount of blanket purchase orders for items in the same general category shall not exceed the limits of the General Municipal Law applicable to the procurement of goods per annum. The Purchasing Agent shall keep a record of the purchases made to insure that they do not exceed the aggregate.

3. Blanket Purchase Orders will show the maximum dollar amount covered by each purchase order. This dollar amount should also be encumbered. The preparation and distribution of blanket purchase orders shall be by the same methods as those utilized for standard purchase orders.

F. Confirming Purchase Orders

When a department has an emergency requiring an immediate purchase, the
NON-BID PURCHASING

following procedure will be followed:

1. The Principal, Director or Program Supervisor will verbally notify the Purchasing Agent.

2. The Purchasing Agent will make a judgment as to the urgency of the purchasing requirement.

3. The Purchasing Agent affirms the purchase and a record is kept noting the circumstance and that verbal authorization was given to the vendor. A confirmation order is prepared to verify the verbal order.

G. There are certain expenditures for which the processing of a purchase order is unnecessary. "Overpapering" can ruin the effectiveness of the system almost as quickly as non-compliance. The following should be made without purchase orders:

1. Contracts for personal services.

2. Employee expenses such as conference expense, mileage and other reimbursable expenses in performance of day-to-day duties.

3. Reimbursement of petty cash funds.

4. Utility bills.

5. Service contracts for a fixed monthly or annual amount.

6. Interdepartmental charges.

7. Medical examinations.

8. Legal Notices.

9. Postage meter costs.

10. Subscriptions.

11. Textbooks.

VI. Responsibility

A. It is the responsibility of each employee involved in procurement process to
NON-BID PURCHASING

become familiar with these procedures and to follow their requirements. Failure to do so may cause an unnecessary delay in the process.

B. If there are any questions or concerns relative to either these procedures or the ability of the employee to respond effectively to their requirements, it is the responsibility of that employee to bring such matters to the attention of the Purchasing Agent.

VII. Invoice from Vendor

Upon receipt, goods should be checked for condition, and for quantity and quality as stated in the purchase order or contract. This will be accomplished by having the requisitioner sign his/her copy of the purchase order and return it to the Business Office as evidence of receipt of goods or services. If only a partial shipment is received the requisitioner shall note on his/her copy of the purchase order which items have been received and shall forward to the Business Office the packing slip or duplicate invoice which accompanies the shipment, as evidence of receipt of the partial shipment. The requisitioner shall retain his/her copy of the purchase order until all items have been received. Notice of partial shipments must be mailed to the Business Office immediately.

The Senior Custodian and Building Secretary are to act as receiving clerks at each school and are authorized to receive and sign for shipments. A receiving point at each school shall be designated, and vendors and carriers shall be so informed. These designated individuals shall be responsible for receiving shipments and insuring that the number of items indicated on the freight bill or delivery ticket have actually been received and are without visible damage. The Business Office shall, without delay, notify the requisitioner that the shipment has been received. It shall be the responsibility of the requisitioner to inspect the shipment for concealed damage, and notify the Business Office so that claims may be made on the carrier.

VIII. Quality Control

The responsibility for quality control and insuring that items purchased meet specifications rests with the Purchasing Agent. The Business Office shall work closely with department heads, and user(s) of the materials to insure that items received are put to specifications, and to determine potential ways to improve specifications.

X. Approval for Payment of Invoice or Claim

Invoices and claims for materials or services shall be delivered directly to the Business Office. These claims shall be processed expeditiously and prepared for prompt payment in order to take advantage of discounts, and also to maintain good relationships with vendors.
NON-BID PURCHASING

The Purchasing Agent shall maintain catalog files to assist in the purchasing function. The catalogs shall be arranged as to be easily accessible, not only to the Purchasing Official, but to all interested persons in the school organization.

The Business Office staff shall remain informed of the services offered by the Division of Standards and Purchases.

New Hartford Central School District
Legal Ref: Sections 102, 103, 104-b, 109-a; 800 et seq., General Municipal Law; Section 207, 305 (14), 1604, 1709, 1725, 1950, 2053, 2554, 3602, 4403; 1725 Education Law: Section 163 State Finance Law; 8 NYCRR 200.2
Adopted: 09/01/92
Revised: 11/05/02, 03/02/04, 06/03/08,
New Hartford Central School District
SUPERINTENDENT'S REGULATION
Draft 10/08/2014

FISCAL MANAGEMENT

PROCUREMENT OF GOODS AND SERVICES QUOTE FORM

Quote Number (of 3 required)

Vendor/Company Name:

Phone #: Date Contacted:

Person giving quote:

Item description:

Will item be used for instructional purposes? Yes No

If yes, please detail alternative instructional formats available from your company for students with disabilities:

Delivered price: 
(Include labor and mileage, if applicable.)

Delivery Date:

Period of time quoted price is in effect:

Quote received by:

Department:

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Approved by the Superintendent:

Page 1 of 1
FISCAL MANAGEMENT

INVENTORY

I. A perpetual inventory of all personal property shall be maintained. Personal property shall mean all tangible personal property of the District that is not consumable and has a useful life of one year or more, including but not limited to equipment, supplies, parts, vehicles and materials, provided that such term shall not include buildings or other real property or equipment which is permanently affixed to real property, or leases, notes or other written instruments.

II. All valuable personal property having a unit resale value of $1,000 or more shall be inventoried once annually.

III. A. Procedures shall be established to ensure that any equipment received or transferred is logged in, its physical location identified and properly labeled with a numbered inventory tag.

B. Procedures shall be established to ensure that inventories of all other personal property are consistent with the requirements of Section II of this policy.

IV. It will be the responsibility of the Transportation Supervisor to maintain an up-to-date inventory of all automotive parts, bus parts, equipment and tools. The records will be kept on computer file available for review upon request.

A. A perpetual parts inventory shall be maintained daily.

B. Two (2) physical inventories will be completed by the end of the months of December and July of each year, with spot checks by section as determined by the Transportation Supervisor.

C. By the end of June of each year, a separate inventory of all equipment and all bench mounted tools – over $500 will be taken by the Plant Engineer.

V. Building administrators and support staff are responsible for identifying obsolete or surplus equipment. A listing shall be forwarded to the Business Office each year by July 1st.

VI. A determination by the Superintendent of Schools shall be made of which equipment are obsolete and cannot be salvaged or utilized effectively or economically by the school district. Following approval by the Board of Education, such equipment shall be sold through bid procedures, if possible, for the highest possible price.

New Hartford Central School District
Adopted: 06/20/06, 06/03/08
Revised: 01/05/10, ______
CONSTRUCTION CONTRACTS AND CHANGE ORDERS
SIGNED BY THE BOARD PRESIDENT

I. The Board of Education shall approve construction contracts and fee arrangements which exceed $10,000 that relate to capital construction projects approved by the voters via bond referendums. The Board President, or designee, is the authorized agent to sign these construction contracts and fee arrangements. Certificates of Substantial Completion shall also be signed by the President of the Board, or designee.

II. Change Orders

A. All change orders will be reported to the Buildings Grounds and Transportation Committee.

B. Any change order that is for $10,000 or more, requires Board of Education approval.

C. Any change order that requires immediate action to avoid a work stoppage may be authorized by the Superintendent and the Board of Education will be notified on the same day.
FUNDRAISING IN THE NEW HARTFORD CENTRAL SCHOOL DISTRICT

I. Purpose

The New Hartford Central School District Board of Education adopts this policy in order to govern fund-raising by students, staff and school and school-related groups.

II. The following principles represent the basis of the New Hartford Central School District's Fund-Raising Policy:

A. The Board of Education, in recognition of Section 23.2 of the Rules of the Board of Regents, prohibits commercial promotional activity in the schools. The Board of Education shall not enter into any contract, agreement or arrangement in which a promise to permit commercial promotional activity on school premises is a consideration. However, the Board of Education does not prohibit commercial sponsorship of fund-raising activities which are otherwise in conformance with the Board’s policies and procedures.

B. The Board of Education believes that it is poor policy to depend on the solicitation of financial contributions to meet the needs of the school or to finance extra-curricular activities. Therefore, it is the policy of the District to hold fund-raising campaigns by pupils, staff and parental organizations to a bare minimum.

C. The Board of Education wants to avoid the appearance of impropriety or illegality in allowing private profit-making firms to solicit or conduct business on school property. The use of students, school buildings and other facilities by any organization or individual for private gain, or any purpose involving private gain, shall be prohibited.

School sponsored groups may have activities approved in which the "arrangement is a public benefit, i.e. where it serves a school purpose and any benefit accruing to the private entry is merely incidental to such public purpose." (Appeal of Gary Credit Corporation, 26 Ed. Dept. Rep 414).

New Hartford Central School District
Legal Ref.: Section 414, NYS Education Law; 8 NYCRR 172.2.
Cross Ref.: Regulation 4600.1 4030.4, Guidelines Regarding School funds by Parent Organizations; Policy 6030, Introduction of Extra-Curricular Activities in the School System Policy 6101.
Adopted: 03/19/86
Revised: 11/20/90, 07/05/094, 12/16/97, 13/02/04, 06/19/07,
FUNDRAISING GUIDELINES FOR SCHOOL RELATED ORGANIZATIONS

I. This regulation governs fundraising for school related organizations.

II. Definitions:

1. “School-related groups” shall be defined to include, but not be limited to, parent groups, the Parent-Teacher Association (PTA), and Booster organizations.

2. “Commercial promotional activity” shall mean any activity designed to induce the purchase of a particular product or service by students, or to extol the benefits of such product or service to students for the purpose of making its purchase more attractive, that is conveyed to students electronically, through such media as, but not limited to, television and radio.

3. “Commercial sponsorship” shall mean the sponsorship or the underwriting of an activity on school premises which does not involve the commercial promotion of a particular product or service.

III. All fund-raising from school-related organizations intended for use in the schools are subject to the Principal’s recommendation and the approval of the Superintendent of Schools.

IV. Approval will be granted for such fund-raising purposes as student awards, library books, teacher recognition activities, supplemental playground equipment, assemblies, out-of-state trips and equipment replacement.

V. Instructional materials, supplies and textbooks, teacher conferences, classroom furniture, drapes, room carpeting, etc. are the fiscal responsibility of the Board of Education. Field trips are a part of the total educational experience and are the responsibility of the Board of Education.

VI. Should the Building Principals have any questions, they should consult the Superintendent of Schools.

VII. Each group, which provides funds for use in schools, must supply an annual financial summary at the end of each school year. The summary must include the amount of funds raised for use in schools and the allocation of such funds. Student groups involved in extra-classroom activities must also abide by Regulation 6101.1 No. 6050.1.

VIII. General Procedures
FUNDRAISING GUIDELINES FOR SCHOOL RELATED ORGANIZATIONS

A. To govern school sales and student fund-raising activities, the Board of Education’s policy is that such activity shall be:

1. Appropriate to the age or grade level;

2. Conducted so that no direct solicitation of students is permitted during school hours (including lunch hours);

3. Such that no student is prevented from participating by the high cost of the activity or by his/her limited financial resources;

4. In the conduct of the campaign for funds, no quotas may be set for pupils, and donations must be entirely voluntary without any pressure which compares that giving of one pupil with the giving of another;

5. All monies collected by student organizations must be carried into the proper accounts in the activity accounts of the Principal’s office according to the Extra-Classroom Activity Funds Regulations;

6. Except as herein noted, public school pupils shall not be allowed on, in, or about the premises of the schools in order to participate in any organized campaign to raise funds for any non-school purpose; nor may teachers permit such campaigns or drives within their classrooms.

B. Regulations Pertaining to In-School Student Fund-Raising (Such as bake sales, etc.)

Any request for an in-school fund-raising activity and/or sale of student owned items by a student organization must be presented to the Building Principal for his/her decision. Upon approval by the Building Principal, the request should be forwarded to the Superintendent for final authorization.

C. Regulations Governing Door-to-Door Fund-Raising by Students

1. The following information relates to fund-raising in the School District, this policy is with respect to the outside-of-school, door-to-door type fund-raising on behalf of the District by employees, students and student organizations.

2. The purpose and type of any fund-raising activities in which money is to be collected from the general public by any group for students using the
FUNDRAISING GUIDELINES FOR SCHOOL RELATED ORGANIZATIONS

name of the New Hartford Central School District, or of any student organization sponsored by the school, must have the prior written approval of the Building Principal and the Superintendent. Such fund-raising will be authorized at the discretion of the Superintendent; only, for approved out of state student group activities, and only for the sale of student group owned items.

3. At the Junior High School there will be no fund raising of this type.

4. At the Senior High School, senior students will be allowed to sell magazines. The monies will be used for the Senior Ball, banquet, call gift, and caps and gowns. The profits are to be used by the Student Council and class/academic organizations.

5. Outside of school sales by school-related organizations must comply with Policy 4600.4030.

6. In campaigns in which student solicit general public contributions, student identification will be provided by those students who are collecting. Such identification will reflect the student’s status as a student and document approval of the fund-raising project. Students must participate in groups of two or more students in any approved activity.

D. Regulations Governing School-Related Organizational Fund-Raising

School-related organizational fund-raising activities must conform to the additional guidelines, as follow, when utilizing the buildings and property of the School District:

1. All proposed fund-raising activities to be conducted under the name of the school-related group and involving the use of either school property, buildings or the participation of students, must first have the prior written approval of the Building Principal.

Activities to be conducted during the school day and on school grounds must be approved by the principal and placed on the building calendar. All other activities must be approved by the principal and superintendent and placed on the district’s calendar. Requests submitted by August 15 of each school year will be given first consideration.
FUNDRAISING GUIDELINES FOR SCHOOL RELATED ORGANIZATIONS

2. The Superintendent will then exercise his/her discretion for approving or disapproving a school-related group fund-raising project. Any such approved project may not violate the Education Law, the rules of the Board of Regents or the New York State constitution, which all generally state that revenue for private purposes/gain may not be produced on school property.

3. Funds raised by the parental groups and intended for use in schools or for students must comply with this Regulation.

E. Regulations for Raffles

1. School affiliated organizations (i.e. those that have among their dominant purpose support of the schools’ programs) may conduct “small” raffles on school district property, in accordance with the NYS General Municipal Law, as long as the total raised from any one raffle is not more than 5,000.00 and the total amount raised by one group for a calendar year is not more than $20,000.00.

2. The sponsoring group (PTA, Sports Boosters, Foundation, etc.) must be “not for profit”, have been in existence for at least three years, and must have a charter, certificate of incorporation, or constitution that includes among its dominant purposes support of the schools’ programs, and have at least 75% of its activities be other than the conduct of games of chance. Proof of these requirements must be submitted to the Superintendent of Schools.

3. The sponsoring group must also submit to the superintendent in writing the following information:

   • Type of raffle
   • When the raffle is proposed to take place
   • Where the raffle is proposed to take place
   • The manor in which the raffle is proposed to be run

4. Following the submission of information as per requirements two and three above, the Superintendent will grant or deny permission for the raffle, request additional information before making a decision, and/or require certain changes prior to approval.
5. Once permission is received for a raffle:

- Only persons eighteen (18) years of age or older shall purchase raffle tickets, sell raffle tickets, or conduct or assist in the conduct of a raffle drawing.
- The District generally encourages that all raffles take place on school property and discourages selling raffle tickets door to door or at shopping areas.
- Raffle tickets will only be sold at the entrance of a school event, i.e. foyer of the school, auditorium/cafeteria entrance, at key location(s) at the event, etc. At no time will raffle tickets be sold by adults/students going into the stands/auditorium/cafeteria during extracurricular activities. The building principal or his/her designee will determine the time, place and manner for conduct of raffles.

6. Questions regarding raffles may be directed to the Superintendent’s Office at 624-1218.
RAFFLE REQUEST FORM

Sponsoring Group: ____________________________

Date(s) of Raffle: ______________________________

Location of Raffle: ____________________________

Type/Description of Raffle: ________________________

Requested by:

Group/Organization ____________________________ Date ____________

Approved by:

Building Principal ____________________________ Date ____________

Superintendent ______________________________ Date ____________

Approved by the Superintendent: ____________________
New Hartford Central School District
Adopted: 06/19/07
New Hartford Central School District
SUPERINTENDENT'S REGULATION
Draft 10/08/2014

FISCAL MANAGEMENT 4600.3 Revise/renumber 4030.3

FUNDRAISING REQUEST FORM

Sponsoring Group: ____________________________

Dates of Activity: ____________________________

Purpose: ____________________________________
(See Regulation 4600.1 #4030.1, Items II & III on reverse)

Description of Activity: ____________________________

Requested by: ____________________________
Advisor ____________________________ Date

Approved: ____________________________
Building Principal ____________________________ Date

Superintendent ____________________________ Date

Approved by the Superintendent: ______

New Hartford Central School District
 Adopted: 06/19/07

Page 1 of 1
PUBLIC GIFTS, GRANTS AND BEQUESTS TO THE SCHOOL

I. Class Gifts to School

Donations, gifts, scholarships, awards, bequests, etc., are to be made directly to the Board of Education and not to individual staff members, employees or school organizations. The Board will note its acceptance of a gift and any applicable guidelines for the use of a gift in the minutes of the Board meeting when the gift is accepted.

II. Surplus Class Funds

The Board of Education is authorized to take the balance of funds left by graduating classes and use such funds for the general welfare of the school. The Student Council shall be consulted for suggestions.

III. Contest and Fund Solicitation

A. Contests and activities which are sponsored by outside agencies and which involve participation by pupils or granting of awards or prizes to pupils shall not be announced or permitted in the schools unless first approved by the Principal who will contact the Superintendent for final authorization. Such activities must be adjudged to have educational value for the participants before permission may be granted.

B. In order to remove the pressure on students to donate, direct solicitation by approaching students in their classrooms or homerooms and asking them to donate money or goods for charitable organizations is prohibited.

C. The following activities are permissible:

1. Fund raising activities that take place off school premises or outside of the regular day. Recruiting children during the school day for participation in fundraising activities is permissible as long as the activities themselves occur off school premises or outside to the school day;

2. Arms-length transactions where the contributor receives something for his or her donation; and

3. Having a bin or collection box in a hallway or other common area for the donation of food, clothing or money is passive, and no pressure is exerted upon students to participate.
PUBLIC GIFTS, GRANTS AND BEQUESTS TO THE SCHOOL

B. Regents Rules prohibit the collection of monies of any kind from school children in the public schools in order to remove pressure on students to donate money to a wide variety of causes and charitable organizations. Therefore, New Hartford students may not solicit funds from other students in school for charitable activities, etc.

C. Students are in school to be educated. They shall not be exploited in any way by being used to receive or to distribute materials of an advertising or propaganda nature. The school authorities shall not permit the participation of children in essay contests as a part of the regular school program, nor shall students be used for the solicitation of funds for any charitable activities.
FISCAL MANAGEMENT

GOLD CARD PASSES

Gold Card Passes will be granted upon request to those resident senior citizens over sixty (60) years of age. Passes will provide free admission to all New Hartford Central School extra-curricular activities, and will be issued by the Superintendent.

New Hartford Central School District
Adopted: 10/25/77, 03/02/04
Revised: 11/16/93, 01/02/96, 03/18/08, _____
FISCAL MANAGEMENT

PETTY CASH ACCOUNTS

I. Petty cash funds shall be established at each school and the business office for the purchase of materials, supplies or services under conditions requiring immediate payment.

II. A. The amount of each fund will be authorized at the annual meeting and will not exceed $100.00. The Board of Education, upon the recommendation of the Superintendent of Schools, shall appoint a bursar for each petty cash fund who shall administer and be responsible for such fund.

B. Receipts and cash-on-hand must always total the authorized fund amount. All disbursements from such funds are to be supported by receipted bills, paid-out slips or other evidence documenting expenditure.