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*FINANCE POLICIES, PROCEDURES AND REGULATIONS*

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## **ACH REQUEST**

- A vendor requesting Electronic Funds Transfer (EFT) sends form to the Business Office with attached voided check or financial institution certification.
- The form is verified and date stamped, ensuring that all the correct information has been placed on it, and all the correct signatures are in place.
- The information from the EFT form (such as vendor name and date) are recorded.
- The form is submitted to the Purchasing Department for setup.
- Upon receipt from the Purchasing Department the Business Office records the date received and vendor number on a spread sheet, and then files accordingly.

## **FOOD REQUESTS**

### Policy

This policy is intended to define the procedures for the authorization of food and refreshments for college and grant funded events and meetings which involve the public or non-employee guests. Refreshments provided for employees outside the scope of these events are strictly prohibited.

Food Service Request Forms should be submitted to the business office at least two weeks prior to the event, in order to ensure enough time for proper approvals.

### Procedures

1. Verification of appropriation availability or verification that grant provides funds for that particular function.
2. Food Service Request Forms should be completed for each event and should be approved by the Dean/Department Head. Academic Departments require the approval of the VP and Dean of Academic Affairs.
3. The Business Office:
  - a. Logs the request and issues a control number.
  - b. Verifies availability of funds.
  - c. Reviews People in attendance. A roster of those in attendance should be submitted with the request. For public events, the roster should be submitted after the event, for audit purposes.
  - d. Forwards the request to the VP and Dean of Administrative Services for Final Approval.
  - e. Upon receipt of the approved request form, notifies FSA Dining Services and the Originating Department via email and or fax.
  - f. Funds are encumbered for the event.

## **NEW VENDORS W9'S POLICY**

- An individual or Vendor not previously in the Business Office systems requests payment through a W9 form.
- The form is verified for correctness (name, DBA, address, social security number/Tax ID, and signature).
- A copy of the form is filed in the Business Office, and a copy given to the Purchasing Department.
- The Purchasing Department generates a Vendor number which is unique to the individual requesting payment.
- This number is then used as an identification for the Vendor or individual in the Business Office to process payments exclusively to them.

## **WCC STAFF TUITION WAIVER PROCESS**

### **Eligible**

- Full-time Staff
- Half-time salaried staff, eligible for other benefits, such as Health Insurance, who are on an official Westchester Community College line working a minimum of 17 ½ hours per week.
- The above is Spouse, Domestic partner, and their Dependents (children under 24 years of age, based on the age at the beginning of the semester).

*NOTE: Hourly workers and FSA employees are not eligible.*

### **Courses**

- Credit
- Non-Credit

Note: Employees are **NOT** allowed to take classes during the normal **work day** or during **lunch breaks**.

### **Credits**

- Unlimited

### **Residency Requirements**

- A Certificate of Residence is required if living in New York State but outside of Westchester County.
- The entire Tuition is waived for those living outside of New York State.

### **Staff Tuition Authorization Waiver Process**

All Staff working on or off College campus **must** apply for their Tuition Waiver (**Credit Classes only**) at the Westchester Community College Bursar's Office in the Administration Building for Approval and Processing. Payment for fees **must** be made when Tuition Waiver is executed.

(**Waiver applies to tuition only.** Employee is responsible for paying all other charges including but not limited to FSA charges, book charges, laboratory fees, application fee, assessment test, etc.).

## **PURCHASING PROCEDURES**

### **GENERAL PROVISIONS**

1. Purchasing procedures shall comply with all applicable laws and regulations of the State of New York and the County of Westchester.
2. Purchase contracts for materials, equipment and supplies involving an estimated annual expenditure of over \$10,000 and public work contracts involving an expenditure of over \$20,000 shall be awarded only after public advertisement.
3. Westchester Community College shall procure supplies and equipment at the best possible prices and maintain records of same.
4. Contracts shall be awarded to the lowest responsible and responsive bidder.
5. All commitments to vendors shall be made with a Purchase Order Number assigned by the Purchasing Department and followed with a written purchase order stating vendor, price and expense charge code.
6. No person may make a purchase or commitment for services involving the use of College funds unless authorized, and then only through established procedures. The payment of any unauthorized purchases or services shall be the sole responsibility of the person placing such order.
7. The Purchasing Department shall develop and maintain lists of potential bidders for various types of materials, equipment and supplies. Vendors may be included upon request.
8. The College may, when deemed in its best interest, procure goods and services under contracts held by the State of New York
9. No official or employee shall have a financial interest in any contract entered into by the College. This also precludes acceptance of gratuities, financial or otherwise from any supplier of materials or services.

## **POLICIES**

### **I. PURCHASE AND REPAIRS**

For purchases of materials, supplies and on all contracts for the purchase or repair of equipment costing \$10,000 or more, bids must be solicited by public advertisement appearing in one or more issues of a daily newspaper published in Westchester County.

For all purchases of materials, supplies, and on all contracts for the purchase or repair of equipment costing less than \$10,000 and more than \$1,000, advertisement is not necessary; however, bids must be solicited from three (3) vendors providing such goods or service.

For all purchases of materials, supplies, and on all contracts for the purchase or repair of equipment costing \$1,000 or less, it is not necessary to solicit quotes provided that such purchases shall not exceed \$15,000 in any one month.

### **II. .MAINTENANCE. RENTAL AND SERVICE OF EQUIPMENT**

For maintenance, rental or service of equipment costing less than \$3,000 per month, advertisement is not necessary; however, bids must be solicited from three (3) vendors providing such goods or service.

For maintenance or service of equipment costing \$3,000 per month or more, bids must be solicited by public advertisement appearing in one or more issues of a daily newspaper published in Westchester County.

### **III. ADVERTISEMENTS**

Requests for Quotation (Bids) to be solicited by public advertisement shall appear in one (1) or more issues of a daily paper published in Westchester County. Advertisement shall appear not less than five (5) days prior to the date set for opening of such bids, and shall include the following information:

- Place where proposals may be obtained.
- Place, date and hour when bids will be publicly opened.
- Quantity, quality and specifications of supplies, materials equipment or services to be furnished.

### **IV. ADVERTISEMENT EXEMPTIONS**

Advertisement is not required for perishable food stuffs, medical supplies; livestock, feed, forage, law books and supplements, texts, films and certain other publications. However, bids shall be solicited from three (3) vendors providing such items.

### **V. REQUEST FOR QUOTATION BIDS**

Each bid shall contain the following statements:

- Name, business address, federal identification or social security number.

- A statement to the effect that it is made without any connection with any other person making a bid for the same purpose and is in all respects fair and without collusion or fraud.
- A statement to the effect that no elected official or other officer or employee or person whose salary is payable in whole or in part from the County Treasury is directly or indirectly interested therein or in the supplies, materials, equipment or services to which it relates or in any portion of the profits thereof. This provision shall not apply in instances of direct or indirect holdings of less than one percent (1%) of the stock of a corporation.

**VI. BID INSTRUCTIONS AND CONDITIONS**

The Instructions and Conditions are to be included with each Request For Quotation (see Exhibit A).

**VII. FILE PRICE**

A File Price is a contract for the provision of goods and/or services whereby goods and/or services are available from a vendor for a specified price for a specified period of time. Prices are obtained through the advertised bidding process.

The department will create a requisition to initiate a purchase.

**VIII. LIMITED DEPARTMENTAL PURCHASE ORDERS**

Limited Departmental Purchase orders provide a means for certain departments to purchase directly from a specified vendor(s) only those items listed on the LDPO. Purchases are restricted to only those vendors and items listed on the LDPO. Such purchases are limited to a maximum of \$150/day. The authorized department may go directly to the vendor and pick up items on an as needed basis. Department appends invoice to approved Payment Voucher and forwards to Business Office for payment.

**IX. OPENING OF BIDS**

Bids are to be opened and publicly read at a designated time and place.

**X. AWARD OF BIDS**

Award is made to the lowest responsible bidder.

**XI. TIE BIDS**

Tie bids are awarded by lot, except that residents of Westchester County have preference.

**XII. REJECTION OF BIDS**

All bids or portions thereof may be rejected if deemed in the best interest of the County.

**XIII. DEPOSITS**

If deposit is required, bid must be accompanied by a certified check, made payable to Westchester County in a sum of not more than 5% of the amount of the bid. Upon award of contract all deposits are to be returned except that of the successful bidder which shall be returned upon execution of contract.

#### **XIV. EMERGENCIES**

Emergency purchases and maintenance, repair, rental or service contracts for a breakdown in service or to safeguard life or property may be made without competition if such cost does not exceed \$1,500; if cost does exceed \$1,500 a report must be made to the College President.

#### **XV. STATE & FEDERAL CONTRACTS**

The requirement to publicly bid does not apply in the following circumstances, as noted in the provisions of New York State Municipal Law:

1. Purchases which utilize New York State contracts offered by the NYS Office of General Services (OGS), or contracts offered by the County of Westchester, Bureau of Purchase and Supply.
2. Purchases of surplus and/or second-hand supplies, materials or equipment from the Federal or State government.
3. Purchases of supplies, materials or equipment from state correctional institutions pursuant to New York State Correction Law
4. §186; or from qualified charitable, not for profit agencies for the blind or handicapped which have been approved by the New York State Commissioner of Social Services or Education pursuant to New York State Finance Law §175-a and §175-b.
5. Purchases of goods or services that are required to satisfy an emergency situation which may endanger the welfare of the College Community or College Property.

#### **XVI. PURCHASING OF RECYCLED MATERIALS**

When purchasing products with and without significant recycled content, the College may pay up to 10% above the lowest responsible bid for the purchases of comparable recycled products manufactured from secondary materials, or pay up to 15% above the lowest responsible bid for the purchase of comparable recycled products where at least 50% of secondary materials used in the manufacture of such recycled products are generated from the waste stream of New York state. [The term "recycled product" shall mean, for the purposes of this section, any product which is manufactured from secondary materials, as defined in subdivision one of section two hundred sixty-one of the economic development law, and which meets the requirements of subdivision two of section 27-0717 of the environmental conservation law and regulations promulgated pursuant thereto]

#### **XVII. SURPLUS; OBSOLETE & UNUSED MATERIALS**

Surplus, obsolete and unused supplies, materials or equipment may be sold or leased to the highest responsible bidder at public auction or after the receipt of bids and after advertisement in at least two (2) successive issues of a daily paper published in Westchester County. If, in the opinion of the purchasing agent, the value of such items does not exceed \$1,000, items may be sold or leased to the highest bidder without public advertisement. Bids on such items must be obtained from at least three

(3) bidders whenever possible. If, however, only one (1) bid is submitted, the sale or lease shall be made at a price not less than the value fixed by the purchasing agent. If only one bid

is received the sale or lease shall be made at a price not less than the value fixed by the purchasing agent. Items not salable may be destroyed or disposed of under the direction of the purchasing agent.

#### **XVIII. SOLE SOURCE**

Even though there is only one source of supply, a written quote must be obtained from vendor. When submitting a requisition please be sure "Sole Source" appears on the purchase requisition. All sole source purchases must be verified in writing.

### **REQUIRED WRITTEN APPROVALS AND INSTRUCTIONS FOR ALL REQUISITIONS**

**ALL REQUISITIONS OVER \$1,000:** All requisitions over \$1,000 must be approved and signed by the appropriate Departmental Approver and then forwarded by each User Department to the Business Office with all necessary backup for approval. Once approved by the Business Office, the Business Office will deliver a copy of the fully signed and approved requisition to Purchasing.

**ALL REQUISITIONS FOR IT-RELATED EQUIPMENT, ITEM OR SERVICE:** (Computers, Monitors, Printers, Cartridges, Licenses, Programs, etc.) require that a paper-copy of that requisition(s) be approved by the VP of Information Technology (Tony Scordino). Once approved by IT, IT will send the signed requisition(s) to the Business Office.

**ALL REQUISITIONS FOR MEDIA-RELATED EQUIPMENT, ITEM OR SERVICE:** (Televisions, Projectors, Smart Boards, etc.) require that a paper-copy of the requisition(s) be approved by the Educational Media Program Specialist - Media and Instructional Technology (Jerry Maselli) and IT. Once approved, by both Media and IT, the approved and signed requisition(s) will be sent to the Business Office.

**ALL REQUISITIONS FOR ANY TYPE OF BUILDING FIXTURES, CONSTRUCTION SUPPLIES OR SERVICES:** (Plumbing/electrical fixtures, building supplies, anything will be affixed to a College building) require that a paper-copy of the requisition(s) be approved by the Director of Physical Plant (Rob Cirillo). Physical Plant will then forward the signed requisition to the Business Office.

**ALL REQUISITIONS FOR ANY TYPE OF PRINTING, PROMOTIONAL OR MERCHANDISING ITEM OR SERVICE:** Requisitions for printing, promotional or merchandising must be approved by the Publications Manager (Ed Tatton) in order to ensure that all College printing/marketing guidelines are met.

**ALL REQUISITIONS FUNDED BY GRANT FUNDS:** If a purchase requisition is funded through a grant (Federal, NYS and/or private donor), and that grant includes specific instructions or limitations regarding procurement (such as "Buy American" or MBE/WBE requirements), that information must be included in the requisition and signed by the Department Approver. If grant funding and any instructions are not noted in the requisition, the purchase will be procured in accordance with NYS and County law.

**BACKUP INFORMATION FOR ALL REQUISITIONS:** User Departments should attach to all requisitions a copy of any and all pertinent back-up information (quotes, specifications, etc.)



for each requisition and to send a duplicate of that back-up directly to the Purchasing Department, via inter-office mail, [Purchasing Department – ADM 226]. Please note that the Business Office may not provide copies of the back-up for requisitions to the Purchasing Department. All sole source requisitions must be accompanied by a completed and signed sole source justification form. The User Department must schedule and coordinate installation of any equipment (if it was not originally included as part of the requisition).

**PLEASE NOTE**, that any requisitions received by the Business Office or Purchasing without the required signature(s) will be placed on “HOLD” until all necessary signatures are received.

(Updated: Feb. 2019)

### **TRANSCRIPT WITHHOLDING**

If a student owes money to Westchester Community College from a previous semester, an academic transcript will not be forwarded to any other institution until the debt is paid. The amount owed includes tuition, fees, and all other College related charges.

The College shall implement this policy regardless of whether the statute of limitations against the debt has expired.

The student's obligation may be fulfilled by the payment of the debt in cash, or in the execution of an agreement approved by the College for the repayment of the obligation. The College shall impose the implementation of the policy upon the failure of the student to fulfill the requirement of the repayment agreement unless, due to conditions beyond the control of the student, the implementation of this policy is deferred by the President of the College or by his/her designee.

### **REGISTRATION**

If a student owes money to Westchester Community College from a previous semester, and the amount owed is \$100 or greater, the student shall not be permitted to re-register at Westchester Community College until the debt is paid. The amount owed includes tuition, fees, and all other College related charges.

The College shall implement this policy regardless of whether the statute of limitations against the debt has expired.

The student's obligation may be fulfilled by the payment of the debt in cash, or in the execution of an agreement approved by the College for the repayment of the obligation. The College shall impose the implementation of the policy upon the failure of the student to fulfill the requirement of the repayment agreement unless, due to conditions beyond the control of the student, the implementation of this policy is deferred by the President of the College or by his/her designee.