



CEI



CENTER FOR EDUCATIONAL INNOVATION

**Standard Operating Procedures
Manual**
Second Edition

CENTER FOR EDUCATIONAL INNOVATION

Board of Trustees

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WELCOMING MESSAGE FROM THE PRESIDENT/CHIEF EXECUTIVE OFFICER

The purpose of this SOPM is to provide you with some general information about the policies, practices and benefits of the Center for Educational Innovation (CEI). All employees and/or consultants/companies are responsible for knowing applicable content of this Manual. The provisions in this Manual are guidelines only, and exceptions may be made when, in the opinion of CEI, circumstances so require. CEI also reserves the right to revise this Manual at any time. Moreover, CEI reserves the right to implement policies and practices that may not appear in this Manual and to change, interpret, withdraw, or add any policies, practices or benefits at any time and without prior notice. To the extent that any provision of applicable federal, state or local law is inconsistent with the provisions of this Manual, such Law supersedes the inconsistent Manual provision.

A handwritten signature in blue ink that reads "Seymour Fliegel". The signature is written in a cursive, flowing style.

Seymour Fliegel
President/Chief Executive Officer

ABOUT THIS MANUAL

The policies and practices enumerated in this *Accounting and Procedures Manual* govern the operational procedures of the Center for Educational Innovation (CEI). It represents management's commitment to the establishment of a system of internal controls that provides for the efficient operation of the organization's business operations while protecting the organization from instances of fraud.

The Manual is intended to be used as a reference manual by administrators, secretaries and any staff members that have Budgetary/Financial or Operational responsibilities. Its purpose is to provide an efficient and controlled accountability system that will help assure appropriate use of -Public/Private Funds. It must be understood that the principles of this manual are based on, -Generally Accepted Accounting Principles, and rely on an assumption that individuals have a general understanding of the financial and operational process of a not for profit organization.. For this program to operate at optimum efficiency there must be a spirit of cooperation, teamwork and communication between the staff and the Finance Office.

This manual is also intended to identify and define internal controls that are at the core of CEI's operations. Internal controls are a very important function of a non-profit's overall approach to accountability. The framework of checks and balances identified in good systems of internal control ensure that the assets of CEI's are safeguarded; that the accounting information produced is accurate and complete, and the information obtained from CEI's accounting system can be relied upon and used with confidence by people involved in school decision making and by stakeholders generally. Internal controls are also directly related to financial risk. The identification of risk is a key element of financial management. The external audit of CEI complements the internal control environment by providing the management of CEI with a report on the operation of the controls and highlighting areas, via management letters to the board, where changes and/or improvements may be required.

CEI's President and/or Chief Financial Officer (CFO) will oversee the regular review of all controls and procedures to determine their effectiveness in enabling the organization to efficiently conduct its business while preventing fraudulent acts. If potential weaknesses be found new procedures will be developed, implemented and reflected in this manual.

MISSION

The mission of CEI is, first, to assist public schools in New York City and other communities in improving the quality of public education. Our professional experience and expertise help schools to create more productive environments in which students thrive academically, socially and emotionally. With our support, schools develop better leadership, better teaching and better systems of accountability.

Second, based upon our work with individual schools, CEI advocates for policies and practices that will lead to successful schools.

Third, CEI provides information to the public about the importance of quality public education and the means of achieving it.

To those ends, CEI:

- Fosters and supports the creation of new public schools
- Where appropriate, assists schools in restructuring into smaller learning communities
- Works with teams to create and develop charter schools
- Trains principals and teachers in effective educational practices
- Helps to implement programs that increase the academic and technological skills and augment the social and cultural experiences of public school students
- Creates networks of schools to share best practices and pool resources
- Advocates for policies that support excellence in public schools by improving the talent pool and the training of teachers and principals, and by establishing performance goals for students and educators alike.
- Provides information to parents and the community at large about issues related to the strengthening of public education.

TOPIC 1

Business and Operational Procedures

Budget and Administration

After extensive budget discussion and review with the various program entities (CFN Leaders, administrative team and Finance Committee), a budget package that includes budget summary, budget narrative and cash flow statement is submitted to the Board typically at the last meeting of the prior fiscal year, for review and approval for the next fiscal year.

CEI Operating Budget: The budget package includes projected revenues and expenditures for those activities dealing directly with programs and services provided by CEI. The major funding sources are The NYC Department of Education, US Department of Education, NYS Department of Education, contributions and fund raising.

Bank Accounts and Investments

- All bank accounts must be in the name of CEI;
- No bank account can be created without review by the finance committee and formal Board approval;
- Registered signatories must be approved by the Board and often requires a co-signatory as well;
- All bank accounts are to be reconciled monthly by the Controller;
- Transfers amongst the bank accounts can only be authorized by the CFO.

In the Finance Office, the following people are involved:

- Budget Specialist (BS);
- Financial Analyst Specialist (FAS);
- Technology/Operations Manager (TOM);
- Federal Operations, Grants and Finance Specialist (FOGFS);
- Office Manager (OM);
- Financial Assistant (FA);
- Administrative Assistant (AA).

Purchasing Guidelines

- Vendors can only be entered into the system by the Finance Office.
- Vendors are not made available until they complete the necessary state forms, i.e., business registration, W-9, Certificate of Liability Insurance, affirmative action registration, etc.
- Vendors are monitored to ensure that they are not on the Federal/State/City disbarment list.
- Only the Senior Fellows/CFO can approve checks. Two signatures are required.

Purchase Order Approval

- The Finance Office will complete a purchase order after the appropriate Director approved the request.
- The CFO will approve requisition verifying account accuracy and budget amount.
- The CFO will seek additional approval and guidance from the Chief Operations Officer or Chief Education Officer if the purchase is out of the ordinary or an equipment purchase is over \$25,000.
- All purchase orders are then given to the Finance Office and /or CFO for review and signature.
- Once the purchase order is signed, no information can be changed on that purchase order without

canceling that purchase order and issuing a new requisition or with an additional excess purchase order issued by the Finance Office.

Please note: Blanket purchase orders are not permitted or accepted; items that were never listed on a purchase order cannot be added to a processed order. A new purchase order should be submitted.

Payment Procedures

In order for the Finance Office to pay purchase orders, all vouchers must be accompanied by an original invoice (no copies or faxes are acceptable). They must also have received a report certifying goods/services have been received. Then payment information is entered into MIP financial software by the Controller or FAS.

Please note:

- MIP financial software will not allow the same invoice to be paid twice;
- Any taxes are eliminated from the invoice and not paid;
- No late fees are paid without the CFO approval;
- Checks are printed and remitted to the vendor.

All outstanding checks are reviewed after six months to determine if they should be cancelled.

In the Finance Office:

- FAS/TOM print the purchase orders and append any attachments;
- FAS/TOM mails or e-mails the vendor the appropriate copy of the purchase order;
- FAS/TOM/FOGFS is sent the receiving copy when the item is obtained;
- FAS reviews and codes the financial transactions for MIP accounting system;
- Controller collects the voucher packet and enters the payment information in MIP;
- CFO/Controller will review the payment batch information;
- Controller/FAS remit the checks to the vendors with the appropriate remittance advice.

TOPIC 2

Accounting Procedures

Types of Transactions:

Income resulting from professional services rendered;

- Income resulting from Grants, Contracts, Contributions, and/or Donations;
- Disbursements through vendor invoices as a result of service or materials purchased;
- Payroll, withholding taxes, and employee fringe benefits;
- Procurement.

Deposit of Income:

- Via Check - When income is received it is logged immediately; and the checks are locked in the safe until a timely deposit may be made by the Accounts Receivable Operations Manager. A copy of the deposit receipt is maintained and an additional copy is given to the CFO/Controller to enter account code information for recoding of the transaction into the MIP accounting system.
- Via Electronic Funds Transfer - When income is received it is logged immediately. A copy of the Direct Deposit banking transaction is maintained and an additional copy is given to the CFO to enter the account code information for recoding of the transaction into the MIP accounting system.
- Via Credit Card – When we receive donations for our annual Gala, or other sources, all transactions are entered by the Finance Office using Chase’s Paytech financial system. Monthly transaction reports are received and filed by the Controller.

Accounts Receivable

Accounts receivable represents money owed by entities to CEI on the sale of products or services on credit. Our Finance Office generates an invoice and either mailed or electronically delivering it to the customer, who, in turn, must pay it within an established timeframe, usually 30 days. A second invoice is sent 45 days from the initial invoice date. Any outstanding invoice payments to CEI are forwarded to our Senior Fellows for the appropriate steps.

The Finance Office staff is in charge of receiving (and paying) funds on behalf of CEI and applying it towards our current pending balances.

Accounts Payable

Accounts payable is money owed by a business to its suppliers shown as a liability on a company's balance sheet. It is distinct from notes payable liabilities, which are debts created by formal legal instrument documents. An accounts payable is recorded by the Finance Office in the Account Payable sub-ledger spreadsheet at the time an invoice is vouchered for payment. Expense Payables are but not limited to, advertising, travel, leasing, entertainment, textbooks, professional development, and office supplies. All deliverables are checked by the receptionist and checked for accuracy.

Disbursements

All disbursements must be for the business purpose of CEI and be within the fiscal and programmatic guidelines of the funding source. Each disbursement must be approved by the Program Director and CFO and be supported by original documentation, including a statement of purpose and an original vendor’s invoice. Upon approval, a check is issued as payment. Any check issued by CEI requires 2 signatures.

Reimbursement of Expenses

- All of the “Guiding Principles” apply to a request for the reimbursement of out-of-pocket expenses;
- A Fiscal Year (FY) 20XX - DISBURSEMENT REQUEST form is used to submit the claim for reimbursement. The entire Top section of the form is completed, including the “Nature and Purpose of Expenses”. The claimant signs on the line “Claimant Signature”;
- Original receipts (invoices) are to be stapled or taped to a separate sheet and attached to the Disbursement Request, with other support documentation;
- The completed Disbursement Form, with support documentation, is mailed to PICCS Program Director for approval to certify that the expenses have been authorized and are within the fiscal and programmatic regulations;
- Requests should be submitted on a monthly basis. All requests must be submitted no later than 30 days after the end of the month of expenditure.

Receipts

- All receipts are reviewed to ensure that they properly belong to CEI.
- All receipts are deposited into the bank accounts within 24 hours of their physical receipt.
- Copies are made of all checks and are filed with the bank deposit slip.
- All cash received is immediately acknowledged with an official receipt which is completed in duplicate.
- If an official receipt is voided it is so marked and both copies are filed in CEI records for later review.
- All official receipts are transmitted to the Controller so that they can be reconciled against the bank statements.
- All cash or checks shall be stored in a secured location.
- All bounced checks are pursued to ensure that CEI is made whole (this includes the collection of any and all fees charged by the bank).
- Administrative Assistant opens all mail. The checks are transmitted to the person who generates the deposit slip for the bank and transmits the deposit to the bank.

Payroll

There are various categories for payroll purposes. No matter which category an individual is in, a monthly time sheet must be submitted to the Finance Office with the approval signature of the employee’s immediate supervisor. For employees split funded a Time Allocation form must accompany the monthly timesheet to support the charging of the compensation to a grant/contract.

The categories for payroll purposes are:

- Full-Time Salaried Employees;
- Part-Time Salaried Employees;
- Part-Time Hourly;
- Hourly Consultants.

All Full and Part-Time employees are paid by DIRECT DEPOSIT on the 1st and 15th of the month. Hourly consultant employees are paid in the same manner on the 15th on the month for the time they have worked in the previous month, which is submitted to the payroll company prior to the 15th. At the end of a calendar year a W-2 is issued to employees. An IRS Form1099 will be issued to businesses that provided professional services to CEI during the calendar year. These businesses also must submit evidence to verify their business entity as an independent contractor.

Resolutions

- When submitting board resolutions please make sure to state the nature, duration, service, and amount and (*if applicable*) the grant is to be charged. All contracts must be submitted to the Finance Office for signature. No other employee is permitted to sign contracts.

- Once a resolution is board approved, the originator should take appropriate action.
- The Finance Office will sign the contract (if applicable) and forward to the appropriate parties.
- The President/CFO/Director of Human Resources determines when a resolution is required.

Request for Proposal (RFP) Process

Each program within CEI must submit the specifications for an RFP to the Finance Office for advertisement. The Finance Office will receive RFP's and analyze them with the employee who submitted the request. The RFP is published and the responses are sent to the program's selection committee to be analyzed for the most qualified candidate. An award letter is sent to the applicant who has been selected and a contract for the services is issued by the Finance Office.

Accounting Journal Entry

Preparing accounting journal entries is a normal activity for accountants. CEI-PEI uses a double entry accounting system, MIP, meaning that every financial transaction impacts at least two accounts. One account is debited, and one account is credited. A proper accounting journal entry has equal debit and credit amounts.

TOPIC 3
Procedures/Reimbursement for General Procurement
& Grants

Background

Please note for this SOPM procedures for our PICCS Teacher Incentive Program will be described. However, these SOPs apply to all federally/state funded grant awards to CEI.

Individual consultants and service providing companies contracted through the PICCS projects such as Follett, JPS, SunGard, TERC, SAM, Metro Learning Community, etc. should direct their communication to the CEI staff member assigned to manage a particular service provider or consultant. Under no circumstances should a consultant or service provider communicate directly with PICCS schools unless the CEI staff member assigned to manage a particular service provider or consultant has pre- approved or requested that the consultant or service provider make direct contact with PICCS schools.

Guiding Principles

Consider the following before planning a purchase:

Does the funding source allow for this purchase?

- Are there sufficient funds within the approved budget category for the proposed expenditure?
- Is the cost reasonable, and the vendor selection process documented?
- Is the purchase free of conflict of interest?
- Will the goods or services be delivered/completed within the program's fiscal year?

General Guidelines

- To the extent practical the functions of ordering, receiving and invoices are performed by different individuals;
- Except for emergencies all goods and services should be purchased in the most cost efficient and least expensive manner;
- All purchases must be authorized by personnel at the proper level of responsibility;
- All purchases must be for business expense purpose and within budgetary allocations;
- For professional or administrative services in excess of \$5,000, pre-approval must be received from, a Program Director, Senior Fellow or the CFO; for DOE Work Orders, a request must be made to the Deputy Director:
 - A Work Order will be returned
 - The start date must be entered (Title I funding cannot be issued before 9/1/XX)
 - (a) If the initial \$25,000 and the service is included in the defined service areas, use Whole School Reform Multiple Task Awarded Contract (MTAC) Contract number QR895AR
 - (b) Up to the second \$25,000 (for a maximum total of \$50,000) do NOT use the MTAC Contract number, but create a second purchase order and enter as negotiated services.
 - Services above \$50,000 -- \$100,000. An MTAC must be initiated by the school's budget officer. This is a mini bid process to increase the initial MTAC purchase order (A), initiated by the school, CEI will respond to the MTAC. The principal chooses the vendor of his/her choice (PO increase needed).
 - Note a separate purchase order must be created for options A and B.
 - Sign and date the work order form; as Director of Professional Development, you are the Authorized Vendor.
- NYC Department of Education, NYC and NYS Offices of General Services, and Federal contracts should be used when the item or service being purchased is available through one of these sources;
- For purchases in excess of \$25,000, a formal contract must be executed;
- All employees will be responsible for restitution if there is an inappropriate expense and the expense will be reclassified (charged) to CEI's General Fund.

Purchasing Procedures

- Vendors can only be entered into the system by the Finance Office.
- Vendors are not made available until they complete the necessary state forms, i.e., business registration, W-9, Certificate of Liability Insurance, affirmative action registration, etc.
- Vendors are monitored to ensure that they are not on the Federal/State/City disbarment list.
- Only the Senior Fellows/CFO can approve checks. Two signatures are required.

Purchase Order Approval

- The Finance Office will complete a purchase order for the Work Order or other service or administrative need after the appropriate Director approves the request.
- The CFO will approve requisition verifying account accuracy and budget amount.
- Purchase Orders will be reviewed and accounting staff will attach back up documentation to the printed purchase order.
- All purchase orders are then given to the Finance Office and /or CFO for review and signature.
- Once the purchase order is signed, no information can be changed on that purchase order without canceling that purchase order and issuing a new requisition or with an additional excess purchase order issued by the Finance Office.

Please note: Blanket purchase orders are not permitted or accepted; items that were never listed on a purchase order cannot be added to a processed order. A new purchase order should be submitted.

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Please note:

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- Checks are printed and remitted to the vendor.

All outstanding checks are reviewed after six months to determine if they should be cancelled.

Reimbursement of Expenses

- All of the “Guiding Principles” apply to a request for the reimbursement of out-of- pocket expenses;
- A Fiscal Year (FY) 20XX - DISBURSEMENT REQUEST form is used to submit the claim for reimbursement. The entire Top section of the form is completed, including the “Nature and Purpose of Expenses.” The claimant signs on the line “Claimant Signature”;
- Original receipts (invoices) are to be stapled or taped to a separate sheet and attached to the Disbursement Request, with other support documentation;
- The completed Disbursement Form, with support documentation, is mailed to PICCS Program Director for approval to certify that the expenses have been authorized and are within the fiscal and programmatic regulations;
- Requests should be submitted on a monthly basis. All requests must be submitted no later than 30

days after the end of the end of the month of expenditure.

Resolutions

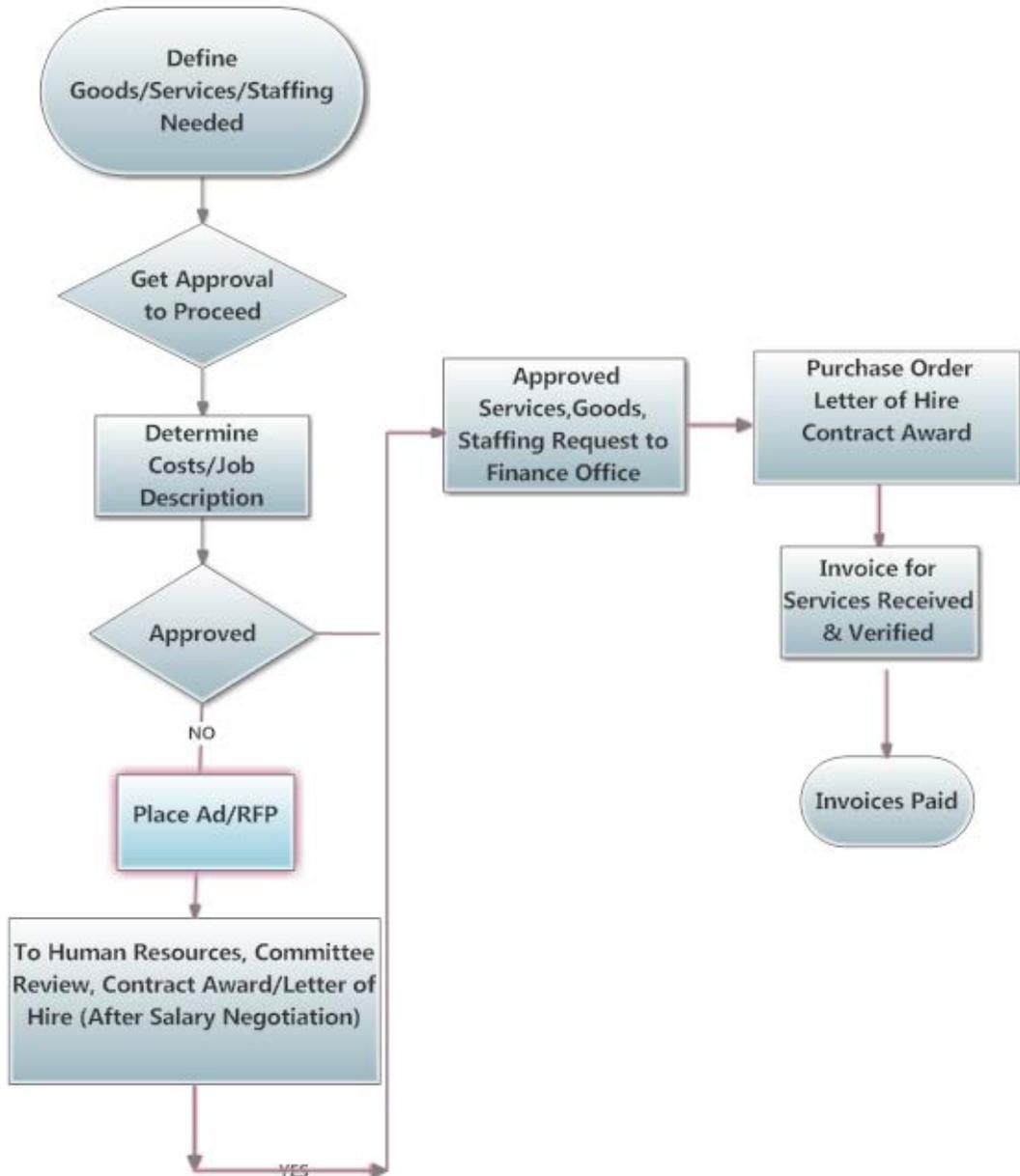
- When submitting board resolutions please make sure to state the nature, duration, service, and amount and (*if applicable*) the grant is to be charged. All contracts must be submitted to the Finance Office for signature. No other employee is permitted to sign contracts.
- Once a resolution is board approved, the originator should take appropriate action.
- The Finance Office will sign the contract (if applicable) and forward to the appropriate parties.
- The President/CFO/Director of Human Resources determines when a resolution is required.

Request for Proposal (RFP) Process

Each program within CEI must submit the specifications for an RFP to the Finance Office for advertisement. The Finance Office will receive RFP's and analyze them with the employee who submitted the request. The RFP is published and the responses are sent to the program's selection committee to be analyzed for the most qualified candidate. An award letter is sent to the applicant who has been selected and a contract for the services is issued by the Finance Office.

**Vendor/Staffing Services
CEI
PROCUREMENT PROCESS FLOWCHART**

- PURCHASING PROCESS for Services**
- For Purchases < \$25,000
 - Get Proper Authorization
 - Senior Fellow & CFO Approval
 - All Grants <> \$25,000 Solicitation
 - For Purchases > \$25,000
 - Get Proper Authorization
 - Make Written Request
 - Ensure We Have Independent Contractor/School Agreement, or OGS, NYC Contract



PURCHASE ORDER TERMS AND CONDITIONS

1. By receipt and execution of this Purchase Order, the service or goods provider (hereafter the 'provider') agrees to supply the services (the "Services") and/or goods (the "Goods") as stated on the reverse side of this Purchase Order to CEI on the dates provided. For tax purposes, CEI is a not-for-profit company; tax ID #13-4113613.
2. This Purchase Order may be cancelled by CEI without penalty unless Provider has begun work or production as the case may be. If such work or production has commenced, and CEI elects to terminate this job, its responsibility shall be limited to paying for the services previously rendered or, in the case of goods, the cost expended to produce such goods prior to the notification of termination.
3. The provider of goods shall not be paid unless the Goods are delivered to the address provided on this Purchase order during regular business hours and signed for by an employee of CEI.
4. The Provider of Goods guarantees that the Goods shall be packaged and shipped safely, all reasonable care to avoid damages to the Goods in transit, and with appropriate shipping documentation and insurance covering the value of any Goods.
5. The Provider must perform the Services by the date specified in the Purchase order. If materials and /or services cannot be delivered by the Delivery date, Company must so notify CEI immediately as it becomes aware of this situation. If the Goods are more than 3 business days late, CEI shall have the right to elect to terminate this Purchase Order and engage a new vendor or services provider.
6. The title in Goods passes to CEI upon delivery of the undamaged goods and payment to the Provider.
7. The following person shall be available to CEI during regular business hours to provide information about this Purchase Order: _____ Tel: _____
8. The price on the Purchase Order is inclusive of all costs incurred by the Provider in supplying the Goods, expected or unexpected, and/or performance of Services, including all charges for packaging, insurance, and delivery and the cost of any items used or supplied in the performance of the Services.
9. Upon delivery of the Goods and/or Services, the provider must provide an electronic invoice by e-mail to CEI- PEA and, not later than 30 days after delivery, an original invoice with reference to the deliverables as specified on this purchase order.
10. The Goods and/or Services must not deviate from the description provided in the Purchase Order. Substitutions and/or modifications may not be made without the written approval of an authorized official of CEI. In addition, no upward adjustments may be made to pricing without the consent in writing of CEI.
11. Provider shall be responsible for any damages to property or harm to individuals caused by negligence in providing the Service or in the production of the Goods.
12. If during the Warranty period, any of the Goods or Services is found to be defective, CEI may return the goods for full-credit or replacement or reimbursement.
13. Delivery Date of Goods and/or Services: _____.
14. Delivery Date of Goods and/or Services: _____
15. Other Terms and Conditions _____

CEI Standing Operating Procedures
Costs Related to Business Travel Funded by Federal Grants
Effective: July 27, 2015

Reimbursement for travel costs occurs with submission of CEI Disbursement Form and receipts in accordance with the limitations described below. For consultants, proposals and subsequent contracts must include an estimate of travel expenses for the contract period.

Lodging

Max lodging by Month (excluding taxes*) for **Manhattan**:

October, November, December	\$295 per night
January, February, March	\$250 per night
April, May, June	\$250 per night
July, August	\$250 per night
September	\$295 per night

Max lodging (excluding taxes*) in other U.S. cities is \$170/night for all months.**

*For consultants, CEI-PEA will reimburse for taxes. For staff, hotels should be notified of CEI-PEA's tax-exempt status. Please contact Yvonne Bentick at 212.302.8800 for required documentation.

**For overnight stays in hotels in which approved, work-related conferences are being held: if the rate exceeds \$170/night, PICCS will cover the full conference hotel rate for attending employees or consultants. In other cases of hotel stays beyond \$170 night for approved, work-related travel, employees may contact Lou Benevento, CFO (lbenevento@thecei-pea.org) and Carter Clawson, PICCS Project Deputy Director (cclawson@thecei-pea.org) for approval before booking the hotel.

Meals and Incidental Expenses

The following table shows the breakdown of breakfast, lunch, and dinner components of the maximum daily reimbursement (per diem) rates for meals and incidental expenses while on travel.

Breakfast	\$8
Lunch	\$12
Dinner	\$26
Incidentals	\$5
Total per day	\$51
Total for 1st & Last Day of Travel	\$38

Note: these amounts do not include taxes. Taxes will be reimbursed.

Travel Reimbursement

Airplane	Best available price; no first class
Automobile*	\$0.555 per mile

*Taxi transportation to/from airports is reimbursed at full cost with receipt.



MONTHLY BUSINESS TRAVEL REPORT

DATE	TRAVEL FROM	TRAVEL TO	DESCRIPTION of BUSINESS	TYPE (see below)	\$ Amount or Mileage
			1. Monthly Mileage (complete for car use only)	Total of daily trips	miles
			2. Reimbursement Mileage Rate		X .555
				Total	
			3. Less Amount for Use of Personal Vehicle		(\$)
			4. Add Other Business Expenses (see TYPE below)		\$
			5. TOTAL Reimbursement Requested		\$

Name: _____ Month/Year: _____

TYPE: PV = Personal Vehicle, P= Parking, TL = Tolls, PT = Public Transportation, CS = Car Service, TX= Taxi.

Note: Please attach original receipts.

SIGNATURE: _____ DATE _____

TOPIC 4

Corporate Credit Cards

The Company's Corporate Credit Card ("Corporate Card") vendors are JPMorgan Chase and American Express. Cards will be issued to individuals based upon need as determined by the President and CFO.

Programs/Activities

The Corporate Card provides a payment mechanism for expenses incurred related to the following programs/activities: PICCS, BOOST, GS&M, and EPO. Additional programs/activities may be added as determined by the President and/or CFO. Use of this card for personal expenses, though inappropriate, may be permitted in special circumstances. The card should not be used to procure bulk supplies and/or services unless it is an absolute necessity. These items should be purchased through the CEI main business office. The Corporate Card will be paid in full each month by the Company and cannot be used to carry outstanding balances. In the event of an employee's termination, the terminated employee is responsible for ensuring his/her Corporate Card balance is cleared at termination by submitting all expense documentation, as the Corporate Card is a personal liability.

Rewards

Both JPMorgan Chase and American Express offer travel rewards programs. These benefits and any other rewards become the property of CEI.

Card Issuance

Cards will be issued to individuals based upon a determination made by the CFO and President.

- The CFO will determine which of the 2 cards is to be issued to an individual based upon his/her previously exhibited or expressed needs.
- Credit limits will be based upon business needs and credit assessment.
- The employee must agree to the terms of the cardholder agreement prior to activating and using the Corporate Card.

Determination of Expenses

- Employees may use the Corporate Card to the extent possible to pay for all expenses related directly to one of the programs/activities as indicated above.
- Expense reports will be reviewed by the finance department, and any expense not approved will become the responsibility of the individual.
- All purchases using the Corporate Credit Card are TAX EXEMPT.
- A copy of the tax exempt card or tax exempt number should be included with each purchase.

Payment

The Company has made arrangements to pay Corporate Cards immediately upon receipt of the monthly card statement to avoid having any late fees or finance charges imposed. Charges must be documented by the employee through the completion, and supervisor's approval, of an expense report, with appropriate receipts attached. Expenses must be clearly explained and delineated on such receipts. Generally, all expense reports for business expenses must be submitted within one week of the last expense incurred. Payment will be made IN-FULL to the issuing company based upon a bill cycle as determined by CEI and the Card Company.

Cash Advances Drawn on the Corporate Card

- Any cash advance in and of itself is not an expense; only valid expenses incurred and paid with the cash advance are reimbursable and must be itemized on the employee's expense report. Employees are responsible for reimbursing CEI for any amounts not used.
- For out-of-pocket expenses, cardholders have access to cash advances from the largest Automated Teller Machine ("ATM") system in the world by using their JPMorgan Chase Corporate VISA cards and Personal Identification Numbers ("PIN") assigned by VISA. The Company has set cardholders' cash advance limits at \$200 per billing cycle. This means that individual cardholders cannot exceed a total of \$200 in one monthly billing cycle.
- You may obtain a PIN through the CFO.
- Because ATM withdrawals incur transaction fees equal to 2.5% of the amount (\$3.00 minimum) cash advances should be held to a minimum. CEI will pay the transaction fee provided appropriate documentation accompanies the record of withdrawal. Cash advances should be obtained only to pay for T&E expenses, such items as meals, taxi fees, parking or other small, authorized expenses when the Corporate Card is not readily accepted. Once cardholders reach their limit, ATM use is suspended until the following billing cycle, provided that the balance has been paid down below the limit.
- Cash advances over \$200 will be issued only under limited circumstances. Prior approval must be obtained from the President or CFO, other than for the Senior Fellows.

TOPIC 5

Technology and Information Management*

Access for users

Each user at CEI HQ that has access to the network is given a unique e-mail account and password to login to the network. Passwords expiration is set at 90 days to ensure the same passwords are not used for more than 90 days at a time. Acceptable Use Policies are in place to ensure user credentials are secure*. Virus protection software is installed on all endpoint devices and is updated daily as new definitions are available.

CEI Managers must send an e-mail requesting a new office telephone or cell phone to the Technology Department. The e-mail should indicate if the request is a new phone or a replacement of an existing device. The requestor should specify the type of telephone that they are requesting and the reason(s) for the request. The CFO/TOM will determine if there is a need for a new/replacement device.

Submissions/Changes to CEI's Web Pages

The Director of Communications maintains CEI's website. All changes and additions will go through the Technology Department first. Send all requests for changes, deletions, additions to The Director of Technology at Central HQ. The Director of Communications will close-out the request when the web page is posted or corrected.

Procedures for the Purchase of All Technology Items

- Any CEI manager who must order any technology items or supplies must first speak with the
- Technology Department staff.
- Request should be made via e-mail and should include a description detailing the need for the Director/Manager's approval, show where funding is available, the location where the equipment should be installed and how it should be configured.
- Upon receipt of your request for a quote, the Technology Department will review the request and advise you if the request is the best suited for your needs.

Electronic and Tangible Records

CEI has computer software that duplicates files, which are then backed-up on its servers. If you save sensitive or important records on computer disks, you should duplicate the information in an alternate format because disks are easily lost or damaged.

Deleting files and emptying the recycling bin is usually sufficient in most circumstances to get rid of a record. However, because electronic records can be stored in many locations, CEI's IT department will be responsible for permanently removing deleted files from the computer system. E- Mail records that you "delete" remain in CEI's system for about 30 days. Keep in mind, where duplicate records are involved, both copies must be destroyed/deleted where proper.

Tangible records are those in which you must physically move to store, such as paper records (including records printed versions of electronically saved documents), photographs, audio recordings, advertisements and promotional items. Active records and records that need to be easily accessible may be stored in CEI's office space or equipment. Inactive records can be sent to an off-site storage facility or stored in our basement.

Tangible records should be destroyed by shredding or some other means that will render them unreadable. If you have a record that you do not know how to destroy, such as a photograph, compact disk, or tape recording, ask the advice of CEI's DRP Manager.

Data Back Up

As CEI copes with the growing amount of corporate information being generated every day, CEI realized, without their data, they have no business. That's why it's so critical to now have a modern and dependable system in place to safeguard valuable business information.

Cloud backup, also known as online backup, is a strategy for backing up data that involves sending a copy of the data over a proprietary or public network to an off-site server. The server is usually hosted by a third-party service provider, who charges the backup customer a fee based on capacity, bandwidth or number of users.

By eliminating our present tape backup system and implementing a cloud backup, recovery and restore solution, CEI now has an automated, safe, encrypted, daily backup and recovery system which instantly restores data regardless of location, including individual files, the most common type of data recovery.

Disaster Recovery

For use in the event of a disaster, this document identifies the computer recovery process that has been designated as backup if the functional areas are disabled. Teams and responsibilities in the event of a disaster in a Non DOE premises:

Communications Team: Director of Human Resources, Office Manager

- Notifies staff
- Notifies Custodial Services

Data Team: CFO, Technology Manager, Operations Manager, Contracted Vendors, CFN Technology Managers

- Coordinates support for data processing resources at the main data center and designated
- Notifies Insurance Carrier(s)

Off-site Storage of Data

Through a partnership with Computer Logic, Inc., we have implemented offsite data storage for critical data for CEI Headquarters. Administrative Data such as Documents, Spreadsheets, Databases, Media files and Email are stored on local servers which are backed up on a daily Basis using the latest in virtualization and replication technologies. All user data is encrypted with military-grade encryption prior to transfer. Data is stored in state-of-the-art data centers in the "Cloud."

Recovery Plan

On-site - In the event of a disaster, the Technology Manager will organize the disaster teams and implement the assignment of recovery tasks to the teams. The following recovery plan will be implemented and followed until computer services normally provided by CEI staff is restored.

- Those users required to process payroll will be given priority over all other users.
- Normal financial daily operations such as p/o, receipt, and check processing will be allowed access data/recovery information's "hot site".
- All other non-essential operations will cease until normal operations are restored.

Off-site - In the event of a disaster, the appropriate personnel in the DOE or Charter School will organize the disaster teams and implement the assignment of recovery tasks.

***Additional Technology Information & Procedures can be found in CEI's "Technology and Information Management Guidelines"**

TOPIC 6

Document Record/Retention and Destruction Policy

POLICY: This Document/Retention and Destruction Policy, as set forth in this document enhances compliance with the Sarbanes-Oxley Act and necessitates that all CEI employees be apprised of the Policy. If an employee reasonably believes that some policy, practice or activity of CEI is in violation of law, the matter must be reported to the President/Chief Executive Officer or designee.

General Guidelines

From time to time, the CEI may establish retention or destruction policies or schedules for specific categories of records in order to ensure legal compliance, and also to accomplish other objectives, such as preserving intellectual property and cost management. Several categories of documents that warrant special consideration are identified below. While minimum retention periods are established, the retention of the documents identified below and of documents not included in the identified categories should be determined primarily by the application of the general guidelines affecting document retention, as well as the exception for litigation relevant documents and any other pertinent factors.

Records should not be kept if they are no longer needed for the operation of the business or required by law. Unnecessary records should be eliminated from the files. The cost of maintaining records is an expense that can grow unreasonably if good housekeeping is not performed. A mass of records also makes it more difficult to find pertinent records.

Exception for Litigation Relevant Documents

The CEI expects all officers, directors, and employees to comply fully with any published records retention or destruction policies and schedules. All officers, directors, and employees should note the following general exception to any stated destruction schedule: If you believe, or the CEI informs you, that CEI records are relevant to litigation, or potential litigation (i.e., a dispute that could result in litigation), then you must preserve those records until it is determined that the records are no longer needed. That exception supersedes any previously or subsequently established destruction schedule for those records.

Minimum Retention Periods for Specific Categories

- CEI Documents. CEI records include the CEI's articles of incorporation, by-laws and IRS Form 1023, Application for Exemption. CEI- PEA records should be retained permanently. IRS regulations require that the Form 1023 be available for public inspection upon request.
- Tax Records. Tax records include, but may not be limited to, documents concerning payroll, expenses, proof of contributions made by donors, accounting procedures, and other documents concerning the CEI's revenues. Tax records should be retained for at **least three years** from the date of filing the applicable return and many others **permanently**.
- Employment Records/Personnel Records. State and federal statutes require CEI to keep certain recruitment, employment and personnel information. CEI should also keep personnel files that reflect performance reviews and any complaints brought against the CEI or individual employees under applicable state and federal statutes. CEI should also keep in the employee's personnel file all final memoranda and correspondence reflecting performance reviews and actions taken by or against personnel. Employment applications should be retained for **one year**.

Retirement and pension records should be kept **permanently**. Other employment and personnel records should be retained from **three to seven years**.

Board and Board Committee Materials. Meeting minutes should be retained in perpetuity in CEI's minute book. A clean copy of all other Board and Board Committee materials should be kept for **no less than three years** by

CEI.

Press Releases/Public Filings. CEI should retain permanent copies of all press releases and publicly filed documents under the theory that CEI should have its own copy to test the accuracy of any document a member of the public can theoretically produce against CEI- PEA.

(f) Legal Files. Legal counsel should be consulted to determine the retention period of particular documents, but legal documents should generally be maintained for a period of **ten years**.

(g) Contracts. Final, executed copies of all contracts entered into by CEI should be retained. CEI should retain copies of the final contracts for **at least three years** beyond the life of the agreement, and longer in the case of publicly filed contracts.

(h) Correspondence. Unless correspondence falls under another category listed elsewhere in this policy, correspondence should generally be saved **for two years**.

(i) Banking and Accounting. Accounts payable ledgers and schedules should be kept **permanently**. Bank reconciliations, bank statements, deposit slips and checks (unless for important payments and purchases) should be kept **for seven years**. Any inventories of products, materials, and supplies and any invoices should be kept **for seven years**.

(j) Insurance. Expired insurance policies, should be kept **permanently**. Insurance records, accident reports, claims, etc. should be **kept 5 years**.

(k) Audit Records. External audit reports should be kept **10 years**. Internal audit report should be kept **for 3 years**.

RETENTION AND DELETION POLICY

TYPE OF RECORD	SPECIFIC RECORD	SUGGESTED RETENTION PERIOD
Accounting Records		
	Annual financial statements	Permanent
	Monthly financial statements	5 years
	General ledger	Permanent
	Annual audit records	Permanent
	Journal entries	Permanent
	Canceled checks	7 years
	A/P paid invoices	7 years
	Business expense records	7 years
	Credit card receipts	7 years
	Cash receipts	7 years
	Accounts payable	7 years
	Accounts receivable	7 years
	Audit reports	7 years
	Chart of accounts	7 years
	Expense records	7 years
	Inventory records	7 years
	Purchase orders	7 years
	Stop payment orders	3 years
	Bank reconciliations	3 years
Tax Records		
	Federal tax returns (not payroll)	Permanent
	State & local tax returns	Permanent
	Form 990 & supporting documentation	Permanent
	Form 990-T & supporting documentation	Permanent
	Supporting documentation for taxes	Permanent
	City & State excise tax reports & supporting documentation	5 years (or longer if designated by state law)
	1099 forms	7 years
	Payroll taxes (W2, W3)	Permanent
	Payroll taxes (Form 941, state withholding forms, state unemployment)	8 years (or longer if designated by state law)
Payroll Records		
	Wage	7 years
	Salary	7 years
	Payroll deductions	7 years
	Time cards or forms	7 years
	W-2 forms	7 years
	W-4 forms	7 years
	Garnishments	7 years following unemployment
	Payroll registers	Permanent
	State employment forms	5 years
	State unemployment tax records	Permanent
	Cancelled payroll checks	7 years

	Deductions register	7 years
	Earnings records	7 years
	Changes or adjustments to salary	7 years
Insurance Records		
	Policies (including expired)	Permanent
	Claims for loss/damage, accident reports, appraisals	5 years
Workplace Records		
	Incorporation & CEI records	Permanent
	(Articles of Incorporation, Bylaws, etc.)	Permanent
	Meeting minutes	3 years
	Policy statements	Permanent
	Employee directories	5 years
	Office correspondence	3 years (admin)
Legal Records		
	General Contracts	3 years after termination
	Personal injury records	10 years
	Trademark registration	Permanent
	Copyright registration	Permanent
	Litigation claims	10 years following close of case
	Court documents & records	10 years following close of case
	Deposition transcripts	10 years following close of case
	Discovery materials	10 years following close of case
	Leases	10 years after termination
Personnel Records		
	Employment applications (persons not hired)	1 year
	Employment applications (persons hired)	5 years following employment
	Employee resumes & employment history	5 years following employment period
	Evaluations	3 years following employment
	Promotions, raises, reclassifications & job descriptions	5 years following employment
	Disciplinary warnings, demotion, lay-off & discharge	5 years following employment
	Employment & termination agreements	Permanent
	Promotions & raises	3 years following employment
	Beneficiary information	3 years following employment
	Medical and safety records	7 years
	Accident reports	7 years
	Sick leave benefits	While employed
	Retirement plans (after expiration)	7 years
	Incentive plans (after expiration)	5 years
	Pension plans (after expiration)	7 years

Cessation of Record Destruction/Deletion

If a lawsuit is filed or imminent, or a legal document request has been made upon CEI, ALL RECORD DESTRUCTION MUST CEASE IMMEDIATELY. CEI's DRP Manager may suspend this DRP to require that documents relating to the lawsuit or potential legal issue(s) be retained and organized. A critical understanding of this section is imperative. Should you fail to follow this protocol, you and/or CEI may be subject to fines and penalties, among other sanctions.

Any questions relating to this document should be emailed to either Lou Benevento, CFO at lbenevento@thecei-pea.org or Joe Eaione, Document/Retention and Destruction Policy Officer at jeaione@thecei-pea.org.

TOPIC 7

Capitilization Policy

Capitalization Policy

A capitalized fixed asset is property, such as equipment, buildings and land with a cost value to or greater than \$1,000 at the date of acquisition as per CEI requirement with an expected useful life of more than one year. Capitalized fixed assets are acquired for the use in normal operations and are not for resale.

Fixed Asset Policy

CEI's fixed assets have been determined to be capital expenses such as desks, chairs, tables, file cabinets (furniture), computers, printers, software and peripheral devices such as laptops, smart phones, tablets, etc. (equipment), that have a value of \$1,000. CEI maintains a record of each asset that includes a copy of the acquisition documents, replacement value, and any warranty information.

Once an asset is recorded, CEI has determined useful life as ten years. CEI checks its fixed asset inventory annually and verifies if each is being used.

Depreciation

Depreciation is a way to spread the expense of a large capital purchase over the number of years it will be in use. The asset is converted to an expense in the CEI budget via journal entry increasing expense and decreasing the value of the fixed asset. CEI also defines its depreciation as "straight line." The straight line method works like it sounds: the value of the fixed asset is depreciated evenly over the life of the asset. Accumulated depreciation is a negative asset account used to capture depreciation and reduce the value of the fixed asset without altering the initial value recorded on the books under the furniture and equipment account. Consistently including depreciation in our operating budget provides the cash needed to replenish depleted assets by bringing cash income to cover a non-cash expense.

TOPIC 8

Business Formation

CEI now requires that people who wish to work with us, a not-for-profit-organization, form a Corporation or a Limited Liability Company (LLC) or become an employee. (W2). CEI **will not accept** Sole Proprietorships or Business Partnerships. All people who are not CEI employees are required to obtain an Employee Identification Number (EIN) from the Federal Government **before** engagement.

How do I apply for an Employer Identification Number (EIN)?

By mail. To obtain an EIN, you must complete Form SS-4, Application for EIN. After you have completed the Form SS-4, you can get the EIN by mail, or by phone. The Instructions for Form SS-4 provides both an IRS service center address and a phone number to apply under the Tele-TIN program.

Internal Revenue Service Attn: EIN Operation Cincinnati, OH 45999

Online. You may also apply online. Once an EIN has been successfully completed and submitted, an EIN will be issued. Press “Control” and Click <http://www.irs.gov/businesses/small/article/0,,id=102767,00.html> to learn more and apply online.

Both a Corporation and LLC are excellent choices for new “business owners” looking to minimize personal liability and build greater credibility. Each entity also offers distinct tax and business advantages. Choosing the right one depends on the specific needs of your business. Identifying the appropriate entity for your new startup is a necessary step as you grow and bring in revenue.

Considering your tax opportunities, settling your liability clauses, and determining how you will manage health insurance benefits are all part of the decision-making process

How do I establish a Corporation?

Corporations offer personal liability protection, tax savings, and increased opportunities for raising capital. Corporations are also required to perform certain formalities such as holding annual meetings and keeping detailed corporate records (minutes). You can also incorporate as an “S” corporation” (see below).

Advantages of a Corporation:

- Self-employment tax savings, which can amount to thousands of dollars annually
- The ability to offer a wide range of benefits such as medical reimbursement plans, 401k and other retirement plans
 - Easier to raise capital from investors and obtain corporate credit
 - Shareholders are not typically liable for corporate debt.

Disadvantages of a Corporation:

- The process of incorporation requires more time and money than other forms of organization.
- Corporations are monitored by federal, state and some local agencies, and as a result may have more paperwork to comply with regulations.
- Incorporating may result in higher overall taxes. Dividends paid to shareholders are not deductible from business income, thus this income can be taxed twice.

Special “S” Corporation Rules:

There's a different rule for corporations that have elected S Corporation status under federal tax regulations. The owners report their share of corporate profits on their own tax returns, whether or not the money has been distributed to them

Corporations can offer some tax advantages if you're able to leave some income in the business as "retained earnings." For example, suppose you wanted to build up a reserve to buy new equipment, or your small label manufacturing company accumulated valuable inventory as it expanded. In either case, you might want to leave \$50,000 of corporate profits or assets in the business at the end of a year. If you incorporated, the rate would almost surely be lower than other business structures.

A corporation does have an advantage when it comes to medical expenses for the owner and his or her spouse and dependents. If you form a corporation and hire yourself as an employee, the corporation can pay for 100% of your family's health insurance premiums and uncovered medical expenses and then take these amounts as a business deduction.

Advantages of an "S" Corporation:

- Owners have limited personal liability for business debts
- Owners report their share of corporate profit or loss on their personal income tax return
- Owners can use corporate loss to offset income from other sources.

Disadvantages of "S" Corporation:

- Can be more expensive to create
- More paperwork than for a limited liability company, which offers similar advantages
- Income must be allocated to owners according to their ownership interests
- Fringe benefits limited for owners who own more than 2% of shares.

Limited Liability Corporation (LLC):

Offers the same personal liability protection as a corporation, but with fewer of the corporate formalities. They typically are not required to hold formal meetings or keep detailed corporate minutes. LLCs also offer great tax flexibility. Members can choose to be taxed as either a traditional corporation or as a "pass-through" entity.

Advantages of a LLC:

- LLCs are easy to set up and maintain
- Members are typically not liable for the debts of the LLC
- Income and losses can be passed through to members
- LLCs do not have the same corporate formalities as a corporation
- An LLC has a flexible management and ownership structure.

Disadvantages of a LLC:

- There is very little legal precedent. No one is really sure just how the courts will apply the LLC statutes in real controversies.
- There are quite a few unresolved questions about some specific tax rules in the context of a LLC.
- Professionals, like accountants, doctors and lawyers, can't avoid professional liability with a corporation.
- The same basic principle applies to a LLC. (However, the LLC does protect each member from liability for the errors or omissions of other members).

Take your time and study the **advantages and disadvantages** of each and then decide what the best is for you. Take full advantage of the Tax Laws. A plan of action is needed to fulfill the goal of being your own boss and running a successful business.

For more information feel free to access web sites such as www.legalzoom.com or www.incorporate.com. You will find fees ranging from \$99 to \$400 +state costs. Please note CEI does not endorse either web site.



TOPIC 9
Miscellaneous Forms

CONSENT TO PHOTOGRAPH, FILM, OR VIDEOTAPE A STUDENT FOR NON-PROFIT USE

Student Name: _____ School: _____

CONSENT TO PHOTOGRAPH, FILM OR VIDEO TAPE A STUDENT FOR NON-PROFIT USE

CONSENT TO PHOTOGRAPH, FILM, OR VIDEOTAPE A STUDENT FOR NON-PROFIT USE
(E.g. educational, public service, or health awareness purposes)

I hereby consent to the participation in interviews, the use of quotes, and the taking of photographs, movies or video tapes of the Student named above by _____ with the exception of _____.

I also grant to _____ the right to edit, use, and reuse said products for non- profit purposes including use in print, on the internet, and all other forms of media with the exception of _____. I also hereby release the New York City Department of Education and its agents and employees from all claims, demands, and liabilities whatsoever in connection with the above.

Signature of Parent/Guardian (if Student is under 18): _____ Date: _____

Address of Parent/Guardian:

OR

Signature of Student (if 18 or over): _____ Date: _____

Address of Student: _____

USE OF OFF-SITE EQUIPMENT

Seymour Fliegel, President
Center for Educational Innovation
28 West 44th Street
New York, NY 10036

Mr. Fliegel:

Thank you for allowing me to take the following equipment off site from the Center for Educational Innovation (CEI).

Item	Serial Number	Attachments	Condition

I will return this equipment to CEI on an annual basis for inspection on or about July 1, of each year. I agree to be responsible for the designated equipment while it is in my possession and to return it upon request.

If any item(s) is/are lost, stolen, destroyed or otherwise rendered inoperative I agree to reimburse CEI for the item(s) at replacement value. If any item(s) is/are damaged, I agree to pay for the repair(s).

(Staff Member borrowing equipment)

Date

Approved:

President

Date

(Date Returned)



Center for Educational Innovation

28 West 44th Street
 New York, NY 10036
 212-302-8800 fax 212-302-0088

Invoice No.

INVOICE

Customer

Name _____
 Company _____
 Address _____
 City _____ State _____ Zip _____
 Phone _____
 Fax _____

Date _____
 Order No. _____
 Rep _____
 FOB _____

Qty	Description	Unit Price	TOTAL
1		\$0.00	

Payment Details

Cash
 Check
 Credit Card

Pay to: Center for Educational Innovation -
 Att: Joe Eaione

SubTotal	\$0.00
Shipping & Handling	
Taxes State	
TOTAL	\$0.00

Funder	GL	Program	Project
<i>Office Use Only</i>			



May 15,20XX

TO: Staff
FROM: Louis Benevento, CFO
RE: Undeposited Checks and Future Payment

On _____ a check in the amount of _____, # _____ was
issued to _____ for _____.

As of 5/15/XX, this check has not been deposited. Before a new check can be issued, an accounting has to be made of the original check.

Please indicate in the area below, to the best of your knowledge, the status of the check. Return this memo in the enclosed envelope by June 15.

- _____ Check was lost.
- _____ I have the check and have not yet deposited it.
- _____ Check was issued in error and has been destroyed or returned.
- _____ A replacement check has already been issued; this check was returned or destroyed.

Note: If you have the check, please return it with this form, as you may be unable to cash it due to the excess time from issuance. Upon receipt of the check, we will issue a new check, which will be reduced by any fees charged by the bank.

Thank you for your cooperation. If you have any questions, please contact Linda White at 212-302-8800 or lwhite@thecei-pea.org.

Signature _____ Date _____

Return this form to
CEI, Finance Office
28 West 44th Street, Suite 300: Attention Linda White
New York, New York 10036
212-302-8800



Center for **Educational** Innovation
28 West 44th Street, New York, NY 10036-6600
Phone: 212.302.8800 Fax: 212.302.0088

Date:

To: Chief Financial Officer, Louis P. Benevento

Dear Mr. Benevento:

This is to certify that I have permission to use (AmEx, Chase, Citi Card, Amazon, Other) Credit/Debit Card(s) in my duties at the Center for Educational Innovation (CEI).

I also acknowledge that I will be held responsible for any authorize purchases on this card(s) and to adhere to its use as noted in our SOPM. I also understand that I am to return the card when my services at CEI are terminated.

Sincerely,

Credit/Debit Card(s): _____



THE NEW YORK CITY DEPARTMENT OF EDUCATION

Chancellor Carmen Fariña

OFFICE OF THE CHANCELLOR

52 Chambers Street - New York, NY 10007

Please print this form, complete the hard copy, and send it to the purchaser of services

SYSTEMWIDE PROFESSIONAL SERVICES REQUIREMENTS CONTRACT WORK ORDER

This work order is required prior to issuing a purchase order to ensure that the region/operation center/school/office and the vendor are in agreement as to the terms of the purchase. No purchase order will be issued without a complete and signed work order. This work order does not replace the contract terms. Rather, it explains the terms for this specific engagement.

Pricing and services must be wholly consistent with the terms and conditions of the contract.

VENDOR NAME: CEI
ADDRESS: 28 West 44th Street, Suite 300 New York, NY 10036
CONTACT: Walter O'Brien
TEL./FAX: (t) 212-302-8800
E-MAIL: wobrien@theCEI-PEA.org

Date Issued 9.04.15

District #29 School Q059

Contract # Vendor #

Contract # QR895AR Vendor # 134113613

I hereby certify that the attached scope of work accurately and completely describes the work to be performed and is consistent with the terms of the above-referenced contract.

Authorized Vendor Signature

Date

Signature of Principal/Superintendent or designee

Date

.....FOR DEPT. OF EDUCATION USE ONLY.....

Purchase Order Number _____

Location Code _____

Scope of Work
(Make copies as necessary)

Services to be delivered. For each service, include service description, number of recipients, location of service, date(s) of service, deliverables, if any, as well as unit, cost, number of units to be purchased and the total cost of the units. Please refer to the sample.

School based, intensive supervisory and instructional support:

1. Assist principals and school communities in defining a substantive **PARENT INVOLVEMENT AND PARENT ENGAGEMENT** program that meets the requirements of Title I
2. Identify and implement sound **FISCAL AND OPERATIONAL** practices in order to maximize resources in compliance with tax levy and reimbursable guidelines
3. Strengthen and differentiate instructional practices for **STUDENTS WITH DISABILITIES**
4. Expand and strengthen **YOUTH DEVELOPMENT** programs and partnerships to increase opportunities for students and their families

	Unit	Unit Cost	# Units	Total
<u>9/4/14-6/1/15 principal, assistant principal(s), Instructional Leads Tchr Center Specialist, Deans, teachers</u>	Day	1000	25	\$25,000

TOTAL
COST

\$25,000

FISCAL YEAR 20XX

DISBURSEMENT REQUEST FOR THE PERIOD 7/1/XX-6/30/XX

NOTE: Attach all support documentation relating to this disbursement request (e.g., copy of order, original vendor invoice, register's receipt, agenda and sign-in sheet, etc.)

Check

Amount \$ _____ Invoice # _____ Invoice Date: _____

Pay to (Include address) _____

CNT# _____ Service Period/
Delivery Date _____ School _____

Services/Materials Provided to Program _____
(Enter name of CEI program/project)

Description & Purpose of Expense _____

Claimant Signature: _____ Date _____
(For reimbursement of out-of-pocket expenses)

Program Director's
Approval Signature _____ Date _____

EXPENSE CHARGED TO:						
FUNDER	GL	PROG. #	PROJ. #	PROJ. Name	AMOUNT	TRANS #
_____	_____	_____	_____	_____	\$ _____	_____
_____	_____	_____	_____	_____	\$ _____	_____
_____	_____	_____	_____	_____	\$ _____	_____
_____	_____	_____	_____	_____	\$ _____	_____
_____	_____	_____	_____	_____	\$ _____	_____
_____	_____	_____	_____	_____	\$ _____	_____

Finance Office
Approval Signature: _____ Date: _____



Center for **Educational** Innovation
 28 West 44th Street, New York, NY 10036-6600
 Phone: 212.302.8800 Fax: 212.302.0088

REPORT OF JOB ACCIDENT

Name: _____

Date: _____

Date of Accident: _____

Location of Accident: _____

Describe the incident:

Did you seek medical help? _____

Did you notify your supervisor? _____

Date of Notification:

I state that my description is an accurate accounting of my accident.

 Employee Signature

 Date

 Supervisor Signature

 Date

Please return this form to Human Resources.

Note: If accident occurs in a school you are to use the school's accident form.



CENTER FOR EDUCATIONAL INNOVATION

Payment Request 2015-2016

Date _____

I am requesting payment for all services indicated below as detailed on the attached invoice. Payment should be made within 30 days of the date on this request.

Funding Category-NYCDOE

- WSR - Whole School Reform (PO)
PD - Professional Development (PO)
MSI - Middle School Initiative (Grant Application)
SSP - Struggling Schools Proposal (Grant Application)
CH - Charter School (Invoice Contract)

Table with 6 columns: School, # Hours, Category, School, # Hours, Category. Includes three rows of blank lines for data entry.

TOTAL HOURS _____ X RATE _____ AMOUNT OF CHECK: _____

Pay to: _____

Address: _____
Phone #: _____

EXPENSE CHARGED TO: (For office use only, LEAVE BLANK).

Table with 6 columns: FUNDER, GL, PROGRAM #, PROJECT #, AMOUNT, TRANS#. Includes three rows of blank lines for data entry.

Special Instructions: _____

(Rev. 07/01/15)

Negotiated Acquisition

Guidelines for Principals to Generate Purchase Orders

All principals need to understand that for all bids over \$5000, principals are required to solicit three (3) bids or to make an exception to the bidding determination as was done in previous years. The process used in selecting a vendor to work in a school must be documented as a negotiated acquisition which is exactly as it sounds. The principal must be able to justify his reasons for choosing a vendor for Purchase orders under \$25,000.

The reasons may be as follows:

- The overall pricing for this vendor's services was the best.
- I am familiar with this vendor because they have worked previously in my school. They are knowledgeable of both my school and the identified staff in need of support thereby enabling them to get the support in place sooner.
- Time restraints prevented me from conducting a formal RFP for services. Thus I negotiated with this vendor and was able to acquire the best value package.
- Their services offered come from their broad range of educational consultants and will be immediately rendered on-site and on-task.
- The mentor provided by this vendor to perform the desired service has been a successful elementary, middle school or high school staff member and/or administrator.
- The mentor provided has expertise and knowledge in our specific areas of need and has done similar work in these areas for schools, Districts and Regions
- The mentor is familiar with gifted and talented students and programs.
- The mentor is knowledgeable of SES programs and services.
- The mentor is a good writer and a good communicator.
- The mentor is up to date on the changes put forward by the Department of Education.
- The mentor has demonstrated an ability to bring people together in areas of school budget management and in the development of a student/teacher program schedule for all grade levels.
- The mentor is familiar with other middle schools throughout the City.
- The mentor is looked upon as a leader within his/her present assignment within an educational setting, struggling schools, etc.
- The fees for service are reasonable and equal to or less than fees charged for similar engagements.

The DOE issues new procurement regulations and the principal or his designated business manager should refer to the Division of Contracts and Purchasing website for these regulations. Overall, not a lot has changed including the requirement that the principal should be prepared, if asked, to justify his /her reasons for selecting a particular vendor.

School DBN	Principal's Name		
Total # of Days of Contracted Service	Director of Professional Services		
Circle Service Areas (maximum <u>five</u> areas)			
↓ 1	Support school leaders in the development and implementation of an enhanced <u>ATTENDANCE IMPROVEMENT</u> program		
2	Enhance and expand a <u>COLLEGE AND CAREER READINESS</u> plan aligned with Common Core College and Career State Standards College		
3	Examine, identify and implement strategies and protocols for in depth <u>DATA ANALYSIS</u> to effectively plan and improve instruction and outcomes for students		
4	Provide a unique and comprehensive range of strategies for <u>EARLY CHILDHOOD</u> success		
5	Strengthen and differentiate instructional practices for <u>ENGLISH LANGUAGE LEARNERS</u>		
6	Assist principals and school communities in defining a substantive <u>PARENT INVOLVEMENT AND PARENT ENGAGEMENT</u> program that meets the requirements of Title I		
7	Enhance and strengthen school <u>LEADERSHIP</u> with a focus on CCLS aligned instruction, improved outcomes for <i>all</i> students, and capacity building for teacher effectiveness		
8	Provide enhanced cross-functional support for schools in the areas of <u>INSTRUCTIONAL AND OPERATIONAL TECHNOLOGY</u>		
9	Identify and implement sound <u>FISCAL AND OPERATIONAL</u> practices in order to maximize resources in compliance with tax levy and reimbursable guidelines		
10	Expand and enhance the integration of Science, Technology, Engineering, Arts and Math (<u>STEAM</u>) practices in schools		
11	Identify and implement school improvement strategies for <u>STRUGGLING SCHOOLS</u>		
12	Strengthen differentiate instructional practices for <u>STUDENTS WITH DISABILITIES</u>		
13	Expand and strengthen <u>YOUTH DEVELOPMENT</u> programs and partnerships and to increase opportunities for students and their families		