

Village of Scottsville
Board of Trustees Organizational Meeting
Monday, April 4, 2022 – 6:00pm
Wheatland Municipal Building

Call to Order Mayor Ridge called the 2022-2023 Organizational Meeting to order at 6:00 pm.

Pledge of Allegiance to The Flag

Roll Call

Present: Maggie Ridge, Mayor
Kathie Carl, Trustee
Andy Fraser, Trustee
Wayne LaVair, Trustee
Nikki Whitmarsh, Trustee

Also Present: Katie Garner, Treasurer
Anne Hartman, Village Clerk

Organizational Meeting:

Appointments:

Deputy Mayor – – One (1) Year Term
Treasurer – Katie Garner – One (1) Year Term
Clerk – Anne Hartman – One (1) Year Term
Deputy Clerk – Ginny Winter – One (1) Year Term
Department of Public Works Labor Foreman – Ken Bohn – One (1) Year Term
Department of Public Works Administrative Foreman – Todd Schwasman – One (1) Year Term
Code Enforcement Officer, Building Inspector and Fire Marshal – Doug Barber
Council of Governments Representative – Maggie Ridge
Representative to the Monroe County Planning Council – Maggie Ridge
Petty Cash Custodian – Anne Hartman
NYSLRS Security Admin & Contact Admin – Anne Hartman
Sexual Harassment Complaint Officers - _____ and _____

Motion made by Trustee _____ and seconded by Trustee _____ to approve the above appointments and terms for the 2022-23 year unless otherwise stated and as listed above.

Roll Call Vote:

Meeting Dates Designation:

Motion made by Trustee _____ and seconded by Trustee _____ to designate the second Tuesday of each month as regular Village Board of Trustees meeting dates starting at 6:30 pm and the Treasurer meeting the third Tuesday of each month starting at 6:00 pm.

Roll Call Vote:

ZBA/PB, Forestry Board and Historical

Meeting dates and terms

Zoning Board of Appeals will meet the second Thursday of each month at 7:00 pm as needed.

Steve Cullum, Member – Five (5) Year Term – Expires 2027

Kevin Marks, Chair - Four (4) Year Term – Expires 2026

Patti Brandes, Member - Three (3) Year Term – Expires 2025

David Domina, Member - Two (2) Year Term – Expires 2024

Mark Smith, Member - One (1) Year Term – Expires 2023

Planning Board will meet the second Thursday of each month at 7:00 pm or immediately following a Zoning Board of Appeal meeting.

Steve Cullum, Chair – Five (5) Year Term – Expires 2027

Kevin Marks, Member - Four (4) Year Term – Expires 2026

Patti Brandes, Member - Three (3) Year Term – Expires 2025

David Domina, Member - Two (2) Year Term – Expires 2024

Mark Smith, Member - One (1) Year Term – Expires 2023

Forestry Board will meet the second Thursday of each month at 7:00 pm.

Brandon Burger, Chair - Three (3) Year Term – Expires 2024

Michael Souers, Vice Chair – Three (3) Year Term – Expires 2025

Sylvia Benso, Member - Three (3) Year Term – Expires 2025

Camille Martinez, Member - Three (3) Year Term – Expires 2024

Wendy Marks, Member - Three (3) Year Term – Expires 2023

Rick VenVertloh, Member - Three (3) Year Term – Expires 2023

Historic Preservation Commission will meet the fourth Monday of each month at 7:00 pm.

(4 year term – initially: one for 1 year, 2 years, 3 years and two for 4 years)

James Yarrington, Chair - Four (4) Year Term – Expires 2026

Sylvia Benso, Member - Three (3) Year Term – Expires 2025

Randy Hess, Member - Two (2) Year Term – Expires 2024

Wayne Lines, Member - One (1) Year Term – Expires 2023

Carl Schoenthal, Member - Four (4) Year Term – Expires 2026

Organizational Meeting Date Designation:

Motion made by Trustee _____ and seconded by Trustee _____ to establish Monday, April 3, 2023 at 6:00pm as the organizational meeting date for the 2023-2024 schedule.

Roll Call Vote:**Official Newspaper:**

Motion made by Trustee _____ and seconded by Trustee _____ to designate “The Sentinel” as the official newspaper for the year 2022-2023.

Roll Call Vote:

Investment Policy (Summarized):

Village funds not immediately needed for Village operations may be invested in the following types of investments:

Insured Savings Accounts

Certificates of Deposit

United States Government Treasury Bills

Government Money Market Accounts

Investments may be made only in Commercial Banks and the United States Government and must be collateralized to the extent that amounts exceed Federal Deposit Insurance Corporation (FDIC) Insurance.

The following is the approved list of depositories of the Village of Scottsville to which funds may be invested:

Canandaigua National Bank & Trust

Citibank

JP Morgan Chase

United States Government

Wilmington Trust

Motion made by Trustee _____ seconded by Trustee _____ to set up the investment policy for the Village of Scottsville.

Roll Call Vote:**Other Village Policies:**

General Fund Balance

Reserves Policy

Cash Receipts

Online Banking

Credit Card Use

Procurement

Investment Policy (general and detailed)

Petty Cash

Cell Phone

Workplace Violence Prevention

Code of Ethics

Computer

IT Policy

Social Media

Grants

Sexual Harassment Prevention

Motion made by Trustee _____ and seconded by Trustee _____ to re-affirm all the Village policies listed above.

Roll Call Vote:**Liaison Representatives:**

Mayor Maggie Ridge:

Trustee Kathleen Carl:

Trustee Andy Fraser:

Trustee Wayne LaVair:

Trustee Nikki Whitmarsh:

Motion made by Trustee and seconded by Trustee to designate the Board liaison representatives as listed.

Roll Call Vote:

Audit the Books & Records:

Motion made by Trustee and seconded by Trustee that the Board of Trustees cause to be audited the books and records of any officer who collects or disburses funds.

Roll Call Vote:

Advance Approval of Claims:

WHEREAS the Board of Trustees has determined to authorize payment in advance of audit of claims for public utility services, insurance premiums, postage, freight and express charges; and

WHEREAS all such claims must be presented at the next regular meeting for audit; and

WHEREAS the claimant and the officer incurring or approving the claim are jointly and severally liable for any amount the Board of Trustees disallows.

NOW THEREFORE BE IT RESOLVED:

That the Board of Trustees authorizes payment in advance of audit of claims for public utility services, postage, freight and express charges. All such claims must be presented at the next regular meeting for audit and the claimant and the officer incurring or approving the claims are jointly and severally liable for any amount the Board of Trustees disallows.

That this resolution is effective immediately.

Resolution made by Trustee and seconded by Trustee .

Roll Call Vote:

Mileage Allowance:

WHEREAS the Board of Trustees has determined to pay a fixed rate for mileage as reimbursement to village officers and employees who use their personal automobiles while performing their official village duties;

NOW THEREFORE BE IT RESOLVED:

That the Board of Trustees will approve reimbursement to such officers and employees at the rate of **58.5 cents per mile**.

That this resolution is effective immediately.

Resolution made by Trustee and seconded by Trustee .

Roll Call Vote:

Attendance at Schools and Conferences:

WHEREAS there is to be held during the coming official year
 NYCOM's Winter Legislative Meeting
 NYCOM's Annual Meeting
 NYCOM's Annual Meeting and Training School

NYCOM's Fall Training School
 NYCOM's Public Works Training School, and
 Trainings held by Monroe County New York, New York State, the Regional Planning
 Council and Finger Lakes Building Officials Association

WHEREAS attendance by certain municipal officials and employees at one or more
 of these meetings, conferences or schools benefits the municipality;

NOW THEREFORE BE IT RESOLVED:

That the village officers and employees approved by the board are authorized to attend the
 above schools.

That this resolution is effective immediately.

Resolution made by Trustee _____ and seconded by Trustee _____ .

Roll Call Vote:

Designating Depositories:

WHEREAS the Board of Trustees has determined that Village Law § 4-412(3)(2)
 requires the designation of banks or trust companies for the deposit of all village
 monies;

NOW THEREFORE BE IT RESOLVED:

That the Board of Trustees designates the following institutions as depositories of all moneys
 received by the Village Clerk, Treasurer, Deputy Clerk, and receiver of taxes. Names of
 Institutions:

Canandaigua National Bank & Trust
 J.P. Morgan Chase

That this resolution is effective immediately.

Resolution made by Trustee _____ and seconded by Trustee _____ .

Roll Call Vote:

Designating Depository Signers

Motion made by Trustee _____ and seconded by Trustee _____ to designate Katie Garner, Maggie
 Ridge and Deputy Mayor ? as signers on the Canandaigua National Bank accounts.

Roll Call Vote:

Meeting Procedures:

Resolution Adopting Rules of Procedure for the Board of Trustees of the Village of
 Scottsville.

WHEREAS, Village Law § 4-412 provides that the Board of Trustees may
 determine its own rules of procedure;

NOW, THEREFORE BE IT RESOLVED, the following rules of procedure are
 adopted pursuant to Village Law § 4-412:

VILLAGE BOARD OF TRUSTEES REGULAR MEETINGS:

The Board of Trustees' Regular Meetings are held on 2nd Tuesday of each
 month, commencing at 6:30pm in the Wheatland Municipal Building
 boardroom. **SPECIAL MEETINGS:**

Special meetings of the Board of Trustees are all Board meetings other than Regular Meetings. A Special Meeting may be called by the Mayor or any Trustee upon notice to the entire Board. Notice must be given to each member of the Board of Trustees by telephone, in person, or email at least 24 hours in advance of the meeting unless an emergency requires the meeting to be held on less than 24 hours notice.

QUORUM:

A quorum of the Board must be physically present to conduct business. A quorum of the five-member Board of Trustees is three, regardless of vacancies.

EXECUTIVE SESSIONS:

Executive sessions must be held in accordance with NYS Public Officers Law § 105. All executive sessions must be entered into by a motion made from a properly noticed and conducted open meeting.

AGENDAS:

The agenda is to be prepared by the Clerk at the direction of the Mayor. The Mayor or any Trustee may have an item placed on the agenda. When possible, items for the agenda must be provided to the Clerk in writing or via email at least 24 hours before the meeting's start time. However, items may be placed on the agenda at any time, including during the meeting. If necessary, a supplemental agenda may be distributed at the beginning of the meeting.

VOTING:

Pursuant to the New York State Village Law and General Construction Law, each member of the Board has one vote. The Mayor may vote on any matter but must vote in case of a tie. A majority of the totally authorized voting power is necessary to pass a matter unless otherwise specified by State law. A vote upon any question must be taken by ayes and noes, and the names of the members present, and their votes must be entered in the minutes.

GENERAL RULES OF PROCEDURE:

The Mayor presides at the meeting. In the Mayor's absence, the Deputy Mayor presides at meetings of the Board. The presiding officer may debate, move, and take any action that may be taken by other members of the Board. Board members are not required to rise but must be recognized by the presiding officer before making motions and speaking.

Every motion must be seconded before being put to a vote; all motions must be recorded in their entirety in the Board's minutes.

Once recognized, a member may not be interrupted when speaking unless it is to call him/her to order. If a member is called to order, they must stop speaking until the question of order is determined, and, if in order, they must be permitted to proceed.

There is no limit to the number of times a member may speak on a question. Motions to close or limit debate may be entertained and require two thirds vote to pass.

GUIDELINES FOR PUBLIC COMMENT:

The public may speak only during the Public Comment period of the meeting (limited to a total of thirty (30) minutes) and during any public hearing public comment section, or at such other time as a majority of the Board allows.

Speakers must step to the front of the room.

Speakers must give their name, address and organization, if any.

Speakers must be recognized by the presiding officer.

Speakers must limit their remarks to three minutes on a given topic.

Speakers may not yield any remaining time they may have to another speaker.

Board members may, with the permission of the Mayor, interrupt a speaker during their remarks, but only for the purpose of clarification or information.

All remarks must be addressed to the Board as a body and not to any member thereof.

Speakers must observe the commonly accepted rules of courtesy, decorum, dignity and good taste.

Interested parties or their representatives may address the Board by written communications.

AMENDMENTS TO THE RULES OF PROCEDURE.

The Rules of Procedure may be amended from time to time by majority vote of the Board.

And it is further

RESOLVED, that the Village Clerk/Treasurer shall provide a copy of the Rules of Procedure as herein adopted and promulgated to General Code Publishers Corp., for publication in the Village Code to be numbered as a designated chapter thereof in the discretion of the publisher.

Resolution made by Trustee _____ and seconded by Trustee _____ .

Roll Call Vote:

10. Adjournment:

Motion made by Trustee _____ and seconded by Trustee _____ to adjourn the meeting at _____ pm.

Roll Call Vote:

Village of Scottsville, NY
Cash Receipts Policy

Commented [AH1]: Per OSC training deposits must be done within 10 days , good business practice is to deposit more frequently .

Cash receipts (Including checks and cash) come into the village in two (2) ways: in person and by mail.

When the cash receipts arrive by mail:

- Mail is dropped off at the Village Office by the Post Office.
- Mail is then sorted and directed to the proper departments.
- Checks are stamped "For Deposit Only" and entered into the finance system (Daily Receipt Register). A new batch number is used each day (MM/DD/YY).
- A copy of the check or check stub itself is attached to the Village's Daily Receipts Register.
- The check, check copy and any money received are placed in the locked cash box drawer, until the deposit is prepared for the Bank.
- The white and pink deposit slips go to the bank and the pink copy comes back with the bank receipt stapled to it. Yellow copy stays in the deposit slip book.

When the cash receipts arrive in person:

- Cash is received and entered into the finance system. Checks are stamped "For Deposit Only". The batch for the day is used (MM/DD/YY). A numbered receipt is printed out and given to the customer.
- Copies of the checks are made and attached to the Village's deposit packet.
- The check, check copy and cash are placed in the locked cash box drawer until the deposit is prepared. If payments are made with currency, just the payment is placed in the lock cash box drawer.

At the end of the day:

The payments are taken out of the locked cash box drawer and the Village Clerk prepares the deposit (Treasurer or the Deputy Clerk in the village Clerk's absence).

- When the batch consists of only checks under a certain threshold can be deposited via remote capture deposit.
- All deposits consisting of both checks and cash must be brought to the Bank.
- A deposit ticket is filled out with the day's receipts.
- The "Daily Receipts Register" report is printed out and matched against the deposit total. If there are any errors, the process is reviewed, and corrections made.
- Once the register and deposit match, the deposit is placed in the secure bank bag and the register is attached to the Village's deposit packet.

- The Village Clerk (or Treasurer in Clerk's absence) takes the deposit to the bank. The bank receipt is attached to the second copy of the deposit ticket and returned to the Deputy Clerk.
- Once the deposit receipt ticket is returned to the Village Office, it is attached to the day's deposit packet and set in the Treasurer's Office for review by the Treasurer
- The Treasurer reviews the deposit packet, checks for sequential receipt numbers and verifies that proper coding has been used for each entry.
- The petty cash box along with the cash receipts are kept in the locked cash drawer at all times.

Approved April 1, 2019

Chapter 17

CODE OF ETHICS

GENERAL REFERENCES

§ 17-1. Purpose.

Pursuant to the provisions of § 806 of the General Municipal Law, the Board of Trustees of the Village of Scottsville recognizes that there are rules of the ethical conduct for public officers and employees which must be observed if a high degree of moral conduct is to be obtained and if public confidence is to be maintained in our unit of local government. It is the purpose of this chapter to promulgate these rules of ethical conduct for the officers and employees of the Village of Scottsville. These rules shall serve as a guide for official conduct of the officers and employees of the Village of Scottsville. The rules of ethical conduct of this chapter, as adopted, shall not conflict with but shall be in addition to any prohibition of Article 18 of the General Municipal Law or any other general or special law relating to ethical conduct and interest in contracts of municipal officers and employees.

§ 17-2. Definitions.¹

As used in this chapter, the following terms shall have the meanings indicated:

INTEREST — A direct or indirect pecuniary or material benefit accruing to a village employee as the result of a contract with the village. For the purposes of this chapter, a village employee shall be deemed to have an interest in the contract of:

- A. His or her spouse, minor children and dependents, except a contract of employment with the Village of Scottsville.
- B. A firm, partnership or association of which such village employee is a member or employee.
- C. A corporation of which such village employee is an officer, director or employee.
- D. A corporation, any stock of which is owned or controlled directly or indirectly by such village employee.

MUNICIPAL OFFICER OR EMPLOYEE — An officer or employee of the Village of Scottsville, whether paid or unpaid, including members of any administrative board, commission or other agency thereof. No person shall

1. Editor's Note: Amended at time of adoption of Code (see Ch. 1, General Provisions, Art. I).

be deemed to be a municipal officer or employee solely by reason of being a volunteer fireman or civil defense volunteer except a Fire Chief or Assistant Fire Chief.

§ 17-3. Standards of conduct.

Every officer or employee of the Village of Scottsville shall be subject to and abide by the following standard of conduct:

- A. Gifts. He or she shall not directly or indirectly solicit any gift or accept or receive any gift having a value of \$75 or more, whether in the form of money, services, loan, travel, entertainment, hospitality, thing or promise or any other form, under circumstances in which it could reasonably be inferred that the gift was intended to influence him or her or could reasonably be expected to influence him or her in the performance of his or her official duties or was intended as a reward for any official action on his or her part.²
- B. Confidential information. He or she shall not disclose confidential information acquired by him or her in the course of his or her official duties or use such information to further his or her personal interest.
- C. Representation before one's own agency. He or she shall not receive or enter into any agreement, express or implied, for compensation for services to be rendered in relation to any matter before any municipal agency of which he or she is an officer, member or employee or of any municipal agency over which he or she has jurisdiction or to which he or she has the power to appoint any member, officer or employee.
- D. Representation before any agency for a contingent fee. He or she shall not receive or enter into any agreement, express or implied, for compensation for services to be rendered in relation to any matter before any agency of his or her municipality, whether his or her compensation is to be dependent or contingent upon any action by such agency with respect to such matter, provided that this subsection shall not prohibit the fixing at any time of fees based upon the reasonable value of the services rendered.
- E. Disclosure of interest in legislation. To the extent that he or she knows thereof, a member of the Board of Trustees and any officer or employee of the Village of Scottsville, whether paid or unpaid, who participates in the discussion or gives official opinion to the Village Board on any legislation before the Board of Trustees shall publicly disclose on the official record the nature and extent of any direct or indirect financial or other private interest he or she has in such legislation.
- F. Investments in conflict with official duties. He or she shall not invest or hold any investment directly or indirectly in any financial, business,

2. Editor's Note: Amended at time of adoption of Code (see Ch. 1, General Provisions, Art. I).

commercial or other private transaction which creates a conflict with his or her official duties.

- G. Private employment. He or she shall not engage in, solicit, negotiate for or promise to accept private employment or render services for private interests when such employment or services creates a conflict with or impairs the proper discharge of his or her official duties.
- H. Future employment. He or she shall not, after the termination of service or employment with such municipality, appear before any board or agency of the Village of Scottsville in relation to any case, proceeding or application in which he or she personally participated during the period of his or her service or employment or which was under his or her active consideration.

§ 17-4. Filing of claims by officers and employees.

Nothing herein shall be deemed to bar or prevent the timely filing by a present or former municipal officer or employee of any claim, account, demand or suit against the Village of Scottsville or an agency thereof on behalf of himself or herself or any member of his or her family arising out of any personal injury or property damage or for any lawful benefit authorized or permitted by law.

§ 17-5. Distribution of Code of Ethics.³

The Mayor of the Village of Scottsville shall cause a copy of this Code of Ethics to be distributed to every officer and employee of the Village of Scottsville within 10 days after the effective date of this chapter. Each officer and employee elected or appointed thereafter shall be furnished a copy before entering upon the duties of his or her office or employment. Failure to distribute any such copy or failure of any officer or employee to receive such copy shall have no effect on the duty of compliance with such code, nor the enforcement provisions thereof.

§ 17-6. Penalties for offenses.

In addition to any penalty contained in any other provision of law, any person who shall knowingly and intentionally violate any of the provisions of this code may be fined, suspended or removed from office or employment, as the case may be, in the manner provided by law.

3. Editor's Note: Amended at time of adoption of Code (see Ch. 1, General Provisions, Art. I).

Village of Scottsville, NY

Credit Card Policy

Authorization:

- Each credit card will be authorized by the Board of Trustees before it is issued.
- Only authorized personnel of the village of Scottsville may use the municipal credit card.
- All credit card holders must be trained and acknowledge in writing via the Credit Cardholder Agreement that they understand the responsibilities in using a municipal credit card.
- The credit card will be issued in the name of the employee for better accountability.
- Periodic analysis of the card holder's duties and credit card activity will be completed
- The master list of all credit card with be reviewed and updated annually/
- All existing credit cards that are not needed or accounted for will be cancelled.
- The credit card holder is responsible for making sure the credit card use is in compliance with the Village's Purchasing/Procurement Policy

Restrictions:

- Credit card may NOT be used for personal expenses or any other type of purchase not permitted under the Village guidelines. It may only be used for official Village business. NO exceptions.
- Credit cards that allow cash advances or cash back from purchases will NOT be used.
- The credit card limit for the total credit balance will be \$100 per activity cycle. Prior authorization for any activity higher than this limit is REQUIRED.
- Municipal credit card users must notify vendors or merchants that the credit card transaction must be exempt from NYS Sales and Use Tax. Credit card holders may get the IRS Tax Identification Number from the Village Clerk.
- Card holders who use the cards for emergency purposes (may receive verbal authorization if out of the Village) and MUST turn in clear documentation to justify the need.
- Certain types of vendors or purchases may be block using Merchant category codes (for example health spa, dry cleaner).
- Phone, fax and internet purchases must be approved by the Treasurer.

Safeguarding Usage:

- All credit cards will be kept in the Village vault.
- A log will be maintained for use of credit cards.
- Procurement duties will be segregated among the staff to provide checks and balances. Duties will include approval, verification and payment of claims). SEE MORE DETAIL UNDER THE PROCUREMENT POLICY SECTION.
- No one may review and approve their own purchase.
- Billing statements will be broken down by credit card holder.
- Credit Card bills will be reviewed watching for unusual items or destinations.
- Receipts are required to verify items received.
- Have a reconciliation process and timetable.

- All discrepancies will be identified, followed up and inappropriate charges will be recouped from the credit card holder.
- Automatic payment will NOT be used to pay credit card bills.
- The staff member is responsible for the protection of the credit card while it is in their custody. Notify the card issuer and the program administrator immediately if the credit card is lost or stolen.
- Personnel must immediately notify the program administrator upon separation from the village, or at any other time required,
- MISUSE – See Internal Controls below

Documenting purchases:

- Documentation must accompany the return of the credit card. The documentation should include itemized receipts and invoices detailing the goods and/or services purchased, cost, date of purchase and official business explanation thereof.
- Above said receipts and documentations must be submitted to the Treasurer in a timely. Manner to reconcile against the monthly statement.
- Credit card statements will be reconciled with the itemized receipts and invoices.
- Document the purpose of each purchase.
- Card holders must provide the names of anyone for whom the expense is incurred.

Internal Controls:

The Mayor if the administrator of this policy and shall be responsible for the issuance and retrieval of assigned municipal credit cards.to personnel and generally overseeing the compliance with the policy.

The Village Clerk and Treasurer shall be responsible for:

- Assisting with maintaining a record of issuance and retrieval of municipal credit cards and overseeing compliance with the policy.
- Accounting and payment of expenses. All documentation must accompany invoices before payment is made.
- Ensuring the accuracy of the statement and that activity and account information is noted on the credit card statement for each line of entry.
- The balance (including interest on an extension of credit under the credit card agreement) should be paid within 30 days of initial statement date.
- Compliance with the State of New York record retention requirements for safekeeping of statements and receipt for six (6) years.

Any personnel found guilty of illegal or unauthorized use of a municipal credit card may be subject to penalties allowed by law and/or disciplinary action(s) under the Village's Personnel Policies up to and including termination.

Adopted April 1, 2019

Grants Policy and Procedures

This process involves documenting all grant awards in which the Village of Scottsville is named grantee, creating and maintaining a comprehensive database of grant award information, distributing pertinent information to grant coordinators, recipients and sub recipients, insuring that grants are compliant based on programmatic, financial and legal authorities, and serving as a resource to Village grant managing agencies or departments.

Grants Administration

Village grant staff and any subgrantees are responsible for fulfilling all aspects of the grant contract including administrative, programmatic, and financial components while adhering to all governing authorities that legally bind the Village of Scottsville to the Grantor through a grant agreement.

On a broad scale, the Village of Scottsville oversees all grant programs wherein the Village of Scottsville is named grantee, working in concert with division and/or department grant staff and assisting in the management and compliance of such grants.

Grantees are responsible for managing the day-to-day operations of grant and subgrant supported activities. Grantees must evaluate grant and subgrant supported activities to assure compliance with applicable requirements and that performance goals are being achieved.

PRE-AWARD

Grant staff should notify the Village of Scottsville of significant grant related activities such as: grant planning, grant submission, grant approval, grantor site visits, grantor program reviews, key staff changes, etc. These notifications allow the Village to track grant initiatives more effectively during the lifecycle of a grant. All notifications should be directed to the Village Clerk.

1.1 Pre-Application

1.1.1 Planning

Before an application for funding can be created a department should know its needs and how to find resources to meet those needs. It is best to develop departmental strategic plans before reviewing available solicitations. This will minimize the tendency to 'chase grants' and institute grant funded programs that are not a good fit for the department.

It is important to note during the planning process to inquire about what has and has not been successful in the past. Model programs may exist in other communities and can be a valuable planning resource. Likewise, if past performance does not appear to favor positive future results, the planning process should address ways in which the future project will not replicate the past.

1.2 Grant Application Process

Given sufficient notice the Village of Scottsville can assist in the construction and coordination of a grant application. As a best practice, grant staff shall notify the Village Office prior to a grant application being submitted wherein the Village of Scottsville is named grantee.

1.2.1 Grant Application Procedure (Internal Applications)

- a) Identification. Potential grant funding sources might be identified by department staff or by staff of the Village Office through a variety of sources including government and private publications, Internet research, or other means.
- b) Notification. When a grant opportunity is identified and any department is interested in applying, the Village Office should be notified. Notification should include:
 - (1) Source of grant funding.
 - (2) Department interested in applying and department contact.
 - (3) Estimated amount of funding to be requested.
 - (4) Application due date.
 - (5) Summary of project to be funded.
 - (6) List of potential “partners” to be included.
- c) Distribution to other department staff. When appropriate, grant information will be disseminated to other grant personnel or Village employees, promoting an opportunity to include other programs where appropriate, thus strengthening the application, as well as to avoid duplication of effort or competition among departments for available grants. Feedback from other departments and potential collaborations identified will be forwarded to the initiating department.
- d) Grant development process. The Village of Scottsville will work directly with department staff on the grant application, to whatever extent is necessary and appropriate. Some of the services provided will include:
 - (1) Outline the benchmarks to be accomplished during the grant development process.
 - (2) Set up critical dates for progress reports and completion.
 - (3) Research ideas from other municipalities and other sources of funds.
 - (4) Assist with bringing additional public and/or private partners to the grant process, where applicable.
 - (5) Serve as a central point of contact and interface with the Finance Department and Village Board.
 - (6) Provide technical assistance in writing the application and/or completing necessary certifications and forms.
 - (7) Facilitate the involvement of an outside grant writer or consultant when

appropriate.

(8) Review draft application/suggest revisions of any deficiencies.

- e) Final review and preparation for submission. The final grant application will be prepared for signatures by the designated signor, up to and including the mayor. The departments should anticipate three business days for approval.

1.3 Grant Consultants

When a decision is made to hire an outside grant writer or consultant, the Village of Scottsville will continue to be involved in the grant development process, serving in an advisory and/or technical assistance capacity to ensure that the administration's best interests are represented. Grant applications prepared by outside consultants may also be subject to final review by the Village of Scottsville.

1.4 Notice of Grant Award

The means by which departments can be notified of a grant can vary. Grant award notices can be sent to the Mayor, or other Village of Scottsville grant staff via email, regular mail or facsimile transmission. Once a notice of grant award is received, project implementation begins with notifying the Village of Scottsville.

Village grant staff shall forward a copy of the grant award agreement, application and application support documents to the Village Clerk upon receiving a grant award notice. Please include the department/department name, grant staff name, including contact information, with the award.

2 OPERATIONAL

2.1 Execution

2.1.1 Grant Award Notification Procedures

All grant awards shall be reviewed by the Village of Scottsville prior to requesting the Mayor's signature.

a) Requesting the Mayor's Signature

Village grant staff shall submit a copy of the Notice of Grant Award, and/or a grantor contract, to both the Village Clerk and Village Treasurer.

Grant Award Notices generally require the Mayor's signature within 10 – 45 days of receipt of the notice. This provides no time for delays in the procedural review, approval, and preparation of resolutions that are necessary to appropriate and expend grant funds.

2.1.2 Request for Proposals

Whenever the Village of Scottsville issues a Request for Proposal solicitation that is grant funded, grant staff shall inform potential bidders through language in the RFP that the Village of Scottsville may not execute a grant-funded subaward unless a formal contract has been executed.

2.1.3 Financial

a) Billing & Collections

- i) All invoicing/billing necessary to secure reimbursements will be performed by the Village Treasurer. These billings may be in the form of an invoice, fiscal report or other document; a “billing” is any document submitted to grantors that should prompt payment to the Village of Scottsville whether called a billing, invoice, fiscal report or something else.
- ii) A copy of all billings should be submitted to the Village Treasurer, immediately upon issuance. Any adjustments or changes in the amount should be communicated to the Village Treasurer. This will provide accounting records of amounts due and assist in identifying payment amounts received.
- iii) Upon communicating billings to the Village Treasurer, the organizational unit that administers a grant should forward the respective coding for the receivables to include appropriate fund, organizational code and account numbers.
- iv) The department responsible for a grant should follow up on amounts due from grantors when payment is not made within a reasonable time. As payments are later being made the department may need to escalate the level of contacts within the sponsor’s organization to help secure payments. When a payment is received for an amount different from the amount billed the department should contact the sponsor to determine the reason for the payment variance and take the necessary corrective action to adjust billings and charges if necessary or to assist the sponsor in determining that an additional payment is in order.

2.1.4 Evaluate Progress

Documentation of programmatic progress should be maintained and reviewed regularly to insure effective grant management. The grant contract and respective application are typically used to evaluate progress as well as past performance reports and communication from internal and external customers. In the event a grant utilizes a paid evaluator, documentation of frequent communication should be retained.

2.2 Record Keeping

2.2.1 Record Retention

Master grant files are to be maintained by the Village of Scottsville and each sub-recipient.

2.2.2 Acceptable Grant Files

Village grant staff, at a minimum, should retain the following information in their grant file:

- Grant application, project abstract, narrative and budget
 - Grant award notification – contract or agreement
 - Resolution/exhibits approved by the Village of Scottsville
 - Grant program policies and procedures designed to provide assurance to
-

-
- achieve the following:
 - Effective and efficient operations
 - Reliable financial reporting
 - Compliance with applicable laws and regulations
 - Subgrantee files, including the subcontract or subgrant agreement, subgrantee invoices, record of payments vs. budget allowance, and internal control questionnaires/risk-based assessments
 - Purchase orders/encumbrance records for all grant fund purchases
 - Progress reports submitted
 - Financial reports submitted

3 COMPLIANCE

3.1 Purpose of Compliance

The purpose of grants compliance is to promote orderly grant operations, insuring that quality services are consistent with the grant's mission and objectives and that grant funds are used according to the project's approved application, scope of services, budget, subawards, and all other legal requirements that are associated with the grant.

3.2 Occurrences that Call for Grant Staff to Notify the Village of Scottsville Immediately

3.2.1 Key Personnel Changes

The Village of Scottsville shall be notified as quickly as possible by the grant staff upon the resignation, termination, or retirement of any grant liaison or other key grant program staff member to ensure that proper retention of information and continuous grants management occurs during the transition period.

3.2.2 Notice of Audit, Monitoring visit or Review

The Village of Scottsville shall immediately be notified upon receipt of a notice by grant staff of a site or monitoring visit to be performed by the grantor funding agency.

4 ACKNOWLEDGMENT

I acknowledge that I have received a copy of the Village of Scottsville Grants Policies and Procedures, and I commit to read and follow these policies.

I am aware that if, at any time, I have questions regarding the grant policies I should direct them to the Village of Scottsville.

I also am aware that the Village of Scottsville, at any time, may on reasonable notice, change, add to, or delete from the provisions of these policies.

Employee's Printed Name

Title

Employer/Agency Name

Department

Employee's Signature

Date

Adopted April 1, 2019

Village of Scottsville, NY

Reserves Policy

While local governments are required to annually establish balanced budgets, with annual revenues equaling annual expenditures, village may also place funds in a reserve for expenditure at later date. Unlike contingency appropriations that expire at the end of the fiscal year in which the appropriation is made, monies placed in a reserve fund remain there from year to year, unless expended or transferred. Municipal General Law, Article 2 provides the authorization, as well as, requirements and conditions for establishing and utilizing various types of reserve funds. The monies in such a fund:

- Must be deposited and secured in accordance with General Municipal Law 10; and
- If invested, must be done in a manner provided by General Municipal Law 11.

Although the keeping of a separate bank account for each reserve is no longer required, the chief fiscal officer must continue to keep a separate record for each fund established, showing:

- The date and amount of each sum paid into the fund;
- The interest earned by the fund;
- The amount and date of each withdrawal from the fund; and
- The assets of the fund, indicating the cash balance and a schedule of the amounts invested.

Any interest earned or capital gain realized on the money deposited in any of the legally authorized reserve funds must accrue to and become part of the fund.

- The following types of reserve funds applicable to all villages, as authorized by General Municipal Law.
- Capital Reserve Fund
- Repair Reserve Fund
- Contingency and Tax Stabilization Reserve Fund
- Snow and Ice Removal and Road Repair Reserve Funds
- Payment of Bonded Indebtedness
- Workers' Compensation Reserve Fund
- Electric Utility Depreciation Reserve Fund
- Mandatory Reserve Fund
- Unemployment Reserve Fund
- Insurance Reserve Fund
- Solid Waste Management Reserve Fund
- Employee Benefit Accrued Liability Reserve Fund
- Retirement Contribution Reserve Fund

To fund and maintain reasonable reserves, the Village Board of Trustees will:

- Set/establish reserves or fund established reserves for the upcoming year during the budget process.
- Determinations will be made as to how each reserve will be funded, including desired amounts with a multi-year plan to do so.
- A resolution will be made at the annual organizational meeting to adopt said resolution.
- An annual review of new and/or ongoing reserves will be made.

Village of Scottsville, NY Procurement Policy

I. PURPOSE:

The purpose of this policy is to centralize all purchases of supplies, materials and equipment necessary to operate the Village of Scottsville in a sound, professional businesslike manner.

II. PROCUREMENT POLICY FOR THE VILLAGE OF SCOTTSVILLE:

1. Every purchase made will be initially reviewed to determine whether it is a purchase contract or a public works contract. Once that determination is made, a good faith effort will be made to determine whether it is known or can reasonably be expected that the aggregate about to be spent on a item of supply or service is not subject to competitive bidding, taking into account past purchases and the aggregate amount to be spent in a year. The following items are not subject to competitive bidding pursuant to Section 103 of the General Municipal Law: purchase contracts under \$20,000 and public works contracts under \$35,000, emergency purchases, goods purchased from agencies for the blind or severely handicapped (Section 186 of State Finance Law), goods purchased from correctional institutions (Section 186 of the Correction Law), purchases under State and County contracts (Sections 104 and 103-b of General Municipal Law), and supplies and second-hand purchases from another governmental entity.
2. All goods and services not subject to competitive bidding will be secured by use of written requests for proposals (purchase requisition/purchase order). This documentation will include written quotations, verbal quotations, or any other method that assures that goods will be purchased at the lowest price and that favoritism will be avoided. A memo indicating why the purchase is not subject to competitive bidding, or a copy of the contract indicating the source which makes the item or service exempt will be included.
3. The following Method of Purchase will be used as required by this policy in order to achieve the highest savings:

All purchases will require a purchase requisition and/or a purchase order with secondary authorization by the Treasurer or Mayor unless otherwise indicated. Paperwork will be filled out with all the necessary information, date, and Department Head signature.

The following Guidelines for Purchases will be used in order to achieve the highest savings, except purchase contracts over \$20,000 and public works contract over \$35,000, goods purchased from agencies for the blind or severely handicapped; goods purchased from correctional institutions; purchases under State and County contracts; or purchases pursuant to subdivision # 5 of this policy otherwise allowed by law not stated herein:

Amount of Purchase	Method
Under \$500	Purchase Requisition with Code is required from the Department Head. No secondary authorization required.
\$500 - \$2,999	Purchase Requisition with code, verbal quotations with secondary authorization.
\$3,000 – \$9,999	Purchase Requisition with code, 2 written quotations with secondary authorization.
\$10,000 - \$19,999	3 written quotations Prior review and authorization of a written request for the proposal and must be approved by the Board of Trustees before purchasing.
\$10,000 - \$35,000 (public works contract)	As Above

A good faith effort shall be made to obtain the required number of alternate proposals. If the individual requesting the purchase is unable to obtain the required number of alternate proposals, the individual will document the attempt made at obtaining the proposals. But, in no event, shall the failure to obtain the proposals be a bar to procurement.

4. Documentation is required of actions taken in connection with each Method of Procurement stated in #3 is required as follows:
 - A purchase requisition and/or purchase order is required with a secondary authorization by the Treasurer or Mayor as indicated.
 - All purchases must be made with a tax-exempt form.
 - All paperwork will be filled out completely as stated in #2.
 - All paperwork and any packing slips will be turned in on Fridays.
 - Maintain a copy of paperwork for your own files.
 - All invoices and packing slips will be sent or emailed to the Village Office. Copies will be given to the Departments.
 - When using Cash or credit card, itemized receipts will be turned in to the Village Office.

-Once purchases have been received and documentation is complete payment will be processed.

-All documentation will be stapled together and filed.

4. Documentation and an explanation are required whenever a contract is awarded to other than the lowest responsible offeror. This documentation will include an explanation of how the award will achieve savings. The individual requesting the purchase will be responsible for determining if the offeror is responsible, reliable and dependable.

5. This Procurement Policy does contain circumstances when it is not in the best interest of the Village of Scottsville to solicit quotations or document the basis for not accepting the lowest bid. In these circumstances, the individual or company must be chosen based on accountability, reliability, responsibility, skill, education and training, judgement, integrity, moral worth and the ability to have a close relationship with the governing body. These qualifications are not necessarily found in the individual or company that offers the lowest price and the nature of these services are such that they do not readily lend themselves to competitive procurement proceedings. The citizens of the municipality deserve the benefit of expertise in these types of services as it may ultimately save the taxpayers money.

In the following circumstances it may not be in the best interest of the Village of Scottsville to solicit quotations or document the basis for not accepting the lowest bid:

A. Professional services or services requiring special or technical skill, training or expertise. The individual or company must be chosen based on accountability, reliability, responsibility, skill, education and training, judgment, integrity and moral worth. These qualifications are not necessarily found in the individual or company that offers the lowest price and the nature of these services are such that they do not readily lend themselves to competitive procurement procedures.

In determining whether a service fits into this category the Board of Trustees shall take into consideration the following guidelines:

- (a) If the services are subject to state licensing or testing requirements.
- (b) If substantial formal education or training is a necessary prerequisite to the performance of the services.
- (c) If the services require a personal business relationship between the individual and municipal officials.

Professional or technical services shall include but not be limited to

- (a) Services of an attorney;
- (b) Services of a physician;
- (c) Technical services of an engineer engaged to prepare plans, maps and estimates;
- (d) Securing insurance coverage and/or services of an insurance broker;
- (e) Services of a certified public accountant;
- (f) Investment management services
- (g) Printing services involving extensive writing editing or artwork;
- (h) Computer software or programming services for customized programs, or services involved in substantial modification and customizing of prepackaged software.

B. Emergency purchases pursuant to Section 103 (4) of General Municipal Law. Due to the nature of this exception, these goods and services must be purchased immediately and a delay in order to seek alternate proposals may threaten the life, health, safety or immediate welfare of the residents. This section does not preclude alternate proposals if time permits.

- (a) Any "emergency" purchase should be cleared by the Department Head and the Mayor (or in the absence of the Mayor, the Deputy Mayor)
- (b) Notify the Treasurer immediately.
- (c) An authorized P.O. number will be given to the vendor.
- (d) Within 5 days all invoices, paperwork, etc. will be submitted to the Treasurer, including that the article purchased was an emergency and documentation as to the emergency.

III. PURCHASING PROCEDURES

The following procedures are to be followed when a given supply, material or piece of equipment is needed:

1. A written Purchase Order (requisition), signed by the appropriate departmental authority is completed and shall contain the following information:
 - i. (Brand) name of item or service
 - ii. Catalog or serial number
 - iii. Color or other distinguishing features.
 - iv. Quantity desired
 - v. Price (if available)
 - vi. Division Use (Dept) specified on P.O.
2. Processing the Purchase Order:
 - i. Purchase Order is cut.

- ii. Order is sent to the vendor.
 - iii. Copies go to the Treasurer
- 3. After merchandise of service is received the following takes place:
 - i. Department Acknowledges that the goods were received in good condition.
 - ii. Treasurer submits invoice and vouchers to the Village Board for audit.
 - iii. Village Board submits to Treasurer for payment.

6. Annual Review

The Village Clerk and Mayor shall be responsible for conducting an annual review of the procurement policy, and internal control procedures established to ensure compliance with the Procurement Policy. The Treasurer shall provide an evaluation of the effectiveness of the procurement policy and procedures. They shall make recommendations annually to the Board of Trustees who will be responsible for adopting any revisions to the policy.

The Treasurer shall be responsible for conducting an annual evaluation of the effectiveness of the procurement policy and procedures and an evaluation of the control procedures established to ensure compliance with the procurement policy and shall be responsible for reporting back to the Board of Trustees.

7. Appendix A contains a chart designed to assist in determining whether a contract is subject to competitive bidding.

8. Appendix B is a Sample Requisition Form

Appendix A

Most proposed procurements generally fit into one of the 16 categories in the following table. This table identifies whether these categories are within the requirements of General Municipal Law (GML) Section 103, or within local procurement policies and procedures required by GML Section 104-b.

	Subject to Competitive Bidding (section 103)	Local Policies and Procedures (section 104- b)
Purchase Contracts and Contracts for Public Work if No Other Exception Applies 57		
1. Purchase Contracts - In excess of the \$20,000 Threshold	X	
2. Purchase Contracts - Below the \$20,000 Threshold		X
3. Contracts for Public Works - In excess of the \$35,000 Threshold	X	
4. Contracts for Public Works - Below the \$35,000 Threshold		X
Procurements Exempt from the Requirements of section 103 and the Quotations/Proposals Requirements of section 104-b		
5. Preferred Sources (State Finance Law, section 162; Correction Law, sections 184, 186)		X
6. State Contracts; certain Federal contracts (GML, section 104)		X
7. County Contracts (GML, section 103[3])		X
8 Additional exemptions provided for in local policies and procedures (e.g. "piggybacking" on certain other government contracts in accordance with the prerequisites in GML, section 103 [16]); other local exemptions). 58		X
Procurements Exempt from section 103		
9. Emergency (GML, section 103[4])		X
10. Sole Source		X
11. Professional Service		X
12. True Leases	X	
13. Insurance		X
14. Surplus/Second-hand Materials, Supplies, Equipment from Certain Other Governments (GML, section 103 [6])		X
15. Certain Food and Milk Purchases (GML, section 103[9], [10])		X
16. Certain Municipal Hospital or Nutrition Program Purchases (GML, section 103 [8])		X

Appendix B

Purchasing Requisition

Date Submitted: _____

Date Required: _____

Supplier

Name: _____

Address: _____

Quantity	Description	Unit Price	Amount

Department: _____

Account #: _____

Purpose of

Item: _____

Requested by: _____

Approved by: _____

VILLAGE OF SCOTTSVILLE

FOUNDED 1789 • INCORPORATED OCTOBER 1914

COUNTY OF MONROE, NY

SCOTTSVILLE VILLAGE OFFICE

P.O. Box 36 • 22 MAIN STREET

SCOTTSVILLE, NY 14546

Phone: (585) 889-6050 • Fax (585) 889-2505

email: scottsville@scottsvilleny.org

www.scottsvilleny.org

Trustees

LESLIE WAGAR

JAMES CLARK

RICHARD CLARK

ALEX RONNENBERG

Mayor

PAUL F. GEE

Village Clerk

LEE A. MIKEWICZ

Treasurer/Deputy Clerk

JULIANN M. GREEN

Village of Scottsville, New York

22 Main Street PO Box 36
Scottsville, New York 14546

APPENDIX 1

July 7, 2014

Workplace Violence Prevention Policy Statement

The Village of Scottsville is committed to the safety and security of our employees. Workplace violence presents a serious occupational safety hazard to our agency, staff, and clients.

Workplace Violence is defined as any physical assault or act of aggressive behavior occurring where a public employee performs any work-related duty in the course of his or her employment including but not limited to an attempt or threat, whether verbal or physical, to inflict physical injury upon an employee; any intentional display of force which Would give an employee reason to fear or expect bodily harm; intentional and wrongful physical contact with a person without his or her consent that entails some injury; or stalking an employee with the intent of causing fear of material harm to the physical safety and health of such employee when such stalking has arisen through and in the course of employment.

Acts of violence against any of our employees where any work related duty is performed will be thoroughly investigated and appropriate action will be taken, including involving law enforcement authorities when warranted. All employees are responsible for helping to create an environment of mutual respect for each other as well as clients and Visitors, following all policies, procedures and practices, and for assisting in maintaining a safe and secure work environment.

This policy is designed to meet the requirements of New York State Labor Law Art. 2 §27-b and highlights some of the elements that are found within our Workplace Violence Prevention Program. The process involved in complying with this law includes a workplace evaluation that is designed to identify the risks of workplace violence to which our employees could be exposed. Authorized Employee Representative(s) will, at a minimum, be involved in:

- evaluating the physical environment;
- developing the Workplace Violence Prevention Program; and
- reviewing workplace violence incident reports at least annually to identify trends in the types of incidents reported, if any, and reviewing the effectiveness of the mitigating actions taken.

VILLAGE OF SCOTTSVILLE

FOUNDED 1789 • INCORPORATED OCTOBER 1914

Trustees

LESLIE WAGAR
JAMES CLARK
RICHARD CLARK
ALEX RONNENBERG

COUNTY OF MONROE, NY
SCOTTSVILLE VILLAGE OFFICE
P.O. Box 36 • 22 MAIN STREET
SCOTTSVILLE, NY 14546
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email: scottsville@scottsvilleny.org
www.scottsvilleny.org

Mayor
PAUL F. GEE

Village Clerk
LEE A. MIKEWICZ

Treasurer/Deputy Clerk
JULIANN M. GREEN

All employees will participate in the annual Workplace Violence Prevention Training Program. The goal of this policy is to promote the safety and well-being of all people in our workplace. All incidents of violence or threatening behavior will be responded to immediately upon notification. All personnel are responsible for notifying the contact person designated below of any violent incidents, threatening behavior, including threats they have witnessed, received, or have been told that another person has witnessed or received.

Designated Contact Person: Paul F. Gee
Title: Mayor
Department: Mayor's Office
Phone: 585-509-7374
E-mail: pgee@scottsvilleny.org

cc: Peter Skivington
Title: Attorney for Village
Phone: 585-243-0313
E-mail: Peter@JSKLAW.com

Village of Scottsville, NY

Social Media Policy

Definitions

SOCIAL MEDIA - Content created by individuals, using accessible, expandable and upgradable publishing technologies, through and on the Internet. Examples of social media include but are not limited to Facebook, blogs, Myspace, RSS, YouTube, Pinterest, Twitter, LinkedIn, Delicious Snapshot and Flickr.

SOCIAL MEDIA LIAISON - an appointed member of the Village's Board of Trustees to work with the Village of Scottsville Social Media Administrator on all Social Media sites, and communicating information back to the Mayor and the Board of Trustees.

SOCIAL MEDIA ADMINISTRATOR - Appointed Village employee given authorization to update, create, post, remove, edit, etc. the Village of Scottsville Social Media Sites.

I. Purpose

The Village of Scottsville hereby establishes guidelines for the usage of social media to effectively communicate information about the Village to its residents and subscribers using social media websites regarding emergencies, projects, meetings, etc.

2. Administration

The Village of Scottsville Social Media sites shall be administered by an appointed Village Employee. The establishment and use of Village Social Media Sites by any Village employee is subject to approval by the Mayor and Board of Trustees.

3. Accessibility

The Village of Scottsville Social Media Sites should include a hyperlink to this Social Media Policy. Wherever possible, Village Social Media sites should link back to the Official Village of Scottsville website for forms, documents, online services and other information necessary to conduct business with the Village. The Village's website www.scottsvilleny.org will remain the Village's primary internet presence and all Village Social Media sites and profiles will always contain link to this site.

4. Policy

A. Village Social Media Technology Use

1. The Village will approach the use of Social Media tools as consistently as possible to enhance communication and provide information to meet its mission and goals.
2. All Social Media sites shall adhere to applicable Federal, State, County and Municipal laws, regulations and policies.
3. Employees representing the Village, Mayor and/or Board of Trustees on Village Social Media outlets must always conduct themselves to the highest level of professionalism inherent with being a Village employee and in accordance with all applicable Village policies.
4. Only the Mayor and an appointed Village employee shall have permission to create and publish posts on behalf of the Village.
5. Village Social Media network accounts shall be created using an official Village email account.
6. Account passwords shall promptly be reset when an employee is removed as account administrator.

7. Each Village Social networking site shall include an introductory statement which clearly specifies the purpose and topical scope of the Social Network site.
8. Sharing or posting content owned by others shall be performed in accordance with copyright, fair use and established laws pertaining to materials owned by other. This includes, but not limited to quotes, images, documents, links etc.
9. All Social Network sites and entries shall clearly indicate that any articles and any other content posted or submitted for posting may be subject to public disclosure.
10. Village use of Social Media shall be documented and maintained in an easily accessible format that tracks account information and preserves items that may be considered a record subject to disclosure under applicable FOIL Law.
11. All appointed Board of Trustee members and Village employees shall have access to the terms of this Village policy, to ensure compliance with the policy.
12. All new Social media tools proposed for Village use will be approved by the Mayor and the Board of Trustees.
13. The Social Media Liaison and Mayor and appointed Village employee may consult with the Village Attorney to develop specific disclaimers to meet the Village's legal needs.
14. Village computers, laptops and mobile devices used to access Social Media sites shall have up to date software to protect against destructive technical incidents including, but not limited to, cyber, virus and spyware/adware attacks.
15. Perceived or known compromises to the Village's internal network or Social Media sites shall be promptly reported to the Mayor, Board of Trustees and Village Attorney.

B. User Behavior

All users of the Village Social Media site are also subject to the site host's own policies. The Village has no control over a third-party site's policies or modifications. The Village also has no control over content, commercial advertisements or any other postings produced by the Social Media platform that appear on the Village's Social Media site as part of the site's environment. The Village assumes no liability for any inaccuracies these Social Media sites may contain and does not guarantee that the Social Media sites will be uninterrupted, permanent or error free.

Adopted April 1, 2019

Village of Scottsville, NY

Cell Phone Use and Issuance Policy

General Policy:

The Village of Scottsville realizes that certain Job functions require that employees or volunteers are accessible when away from the office or during time outside of scheduled working hours. For this reason, the Village will provide cell phone to select employees and volunteers or include a stipend in their salary toward the use of their own cell phone for Village business.

Criteria for Assignment of Cell Phones:

Village cell phones may be assigned to employees provided that at least one of the following two (2) criteria is met. Simple convenience is not a criterion for cell phone need. It is the responsibility of the Mayor or Department Head to make the above determination as to whether a Village cell phone is warranted and the type of cell phone plan that is required. If the employee or volunteer in question is at a job level commensurate with a Department Head, the Mayor shall make the determination.

1. The job functions of the employee or volunteer requires considerable time outside of their assigned work office or work area, and it is important to Village operations, that they are accessible during those times.
2. The job function of the employee or volunteer requires them to be accessible outside of normal working hours.

Guidelines of Cell Plans:

The Village recognizes that cell phone needs will vary by user. Every effort shall be made when choosing a plan to choose a plan that is most cost effective.

The chosen plan should be monitored and adjusted as appropriate should needs change and also to ensure that the Village is participating in the most efficient plan (i.e. not paying for excessive unused minutes or excessive personal minutes).

Reimbursement for Personal Calls/Text Messaging/Data Use:

All charges in excess of the standard plan amount each month will be the responsibility of the employee using that Village issued cell phone. Cell phone use will be reviewed monthly and monitored as to the nature of the calls to see if reimbursement is due. Reimbursement shall be made to the Village within 30 days of notification of such charges as previously described the employee or volunteer shall be provided with a copy of their usage/charges for verification.

Removal/Inspection of Cell Phones:

A Village cell phone is the property of the Village of Scottsville and as such may be removed for the employee or volunteer's possession at any time. Inspection of the Village owned phones may be made at any time by a Supervisor or the Mayor. Abuse of Village cell phone privileges will result in the loss of Village cell phone privileges.

Damage and Loss:

It will be the responsibility of the employee or volunteer to replace or repair the village issued cell phone due to negligent damage or loss while completing their job responsibilities. It will also be the responsibility of the employee or volunteer to replace or repair the village issued cell phone due to any damage or loss outside their job responsibilities.

The Village will not be liable for damage or loss of personal cell phones brought into the workplace.

Cell Phone Use While Driving or Operating Equipment:

Personnel are required to comply with all State and local laws regarding the use of wireless phones while driving. This policy applies to both the use of Village issued cell phones or personal cell phones in Village owned vehicles/equipment and use of Village issued cell phones in personal vehicles/equipment. Because of the inherent risk of operating a cell phone while driving or operating machinery, the Village has implemented a zero-use policy. Personnel shall not make or receive phone calls or text messages while driving or operating machinery.

The Village of Scottsville takes its cell phone use policy seriously. Any violation of the policy will subject personnel to disciplinary action, up to and including termination.

Extended Absence or Illness:

Personnel who will be unable to perform their regular job duties for an extended amount of time due to illness, disability or other extended absence will be required to turn in their cell phone to their department head or supervisor.

Approved April 1, 2019

The Village of Scottsville Computer Policy

Overview

The Board's intentions for publishing an Acceptable Computer Use Policy are not to impose restrictions that are contrary to the Village of Scottsville, but to establish a culture of openness, trust and integrity. The Board is committed to protecting the Village of Scottsville from illegal or damaging actions by individuals, either knowingly or unknowingly.

Internet/Intranet/Extranet-related systems, including but not limited to computer equipment, software, operating systems, storage media, network accounts providing electronic mail, surfing, are the property of the Village of Scottsville. These systems are to be used for business purposes in serving the interests of the Village and of our residents in the course of normal operations.

Effective security is a team effort involving the participation and support of every the Village of Scottsville employee and affiliate who deals with information and/or information systems. It is the responsibility of every computer user to know these guidelines, and to conduct their activities accordingly.

Access to and use of the Village of Scottsville's computers, systems, software, local area network, e-mail and internet are a privilege. The Village of Scottsville may revoke or limit any and all user privileges at any time, with or without cause.

Purpose

The purpose of this policy is to outline the acceptable use of computer equipment, computer systems, software, e-mail, Internet usage and Internet access at the Village of Scottsville.

These rules are in place to protect the employee and the Village of Scottsville. Inappropriate use exposes the Village of Scottsville to risks including virus attacks, compromise of network systems and services, and legal issues.

Scope

This policy applies to employees, contractors, consultants, temporaries, and other workers at the Village of Scottsville including all personnel affiliated with third parties. This policy applies to all equipment, systems and software that is owned or leased by the Village of Scottsville.

Policy Overview

General Use and Ownership

- While the Village of Scottsville's network administration desires to provide a reasonable level of privacy, users should be aware that the data they create on the corporate systems remains the property of the Village of Scottsville. Because of the need to protect the Village of Scottsville's network, management cannot guarantee the confidentiality of information stored on any network device belonging to the Village of Scottsville.
- Employees are responsible for exercising good judgment regarding the reasonableness of personal use.
- The Board recommends that any information that users consider sensitive or vulnerable be encrypted.

- For security and network maintenance purposes, authorized individuals within the Village of Scottsville may monitor equipment, systems and network traffic at any time.
- The Village of Scottsville reserves the right to audit networks and systems on a periodic basis to ensure compliance with this policy.
- The computer system, e-mail system, internet access system, local area network, and the data therein are owned by the Village of Scottsville.
- Right to search and monitor to ensure compliance with the Village of Scottsville internal policies as well as applicable laws and regulations, and to ensure employee safety, the Village of Scottsville reserves the right to monitor, inspect, and/or search at any time the Village of Scottsville information systems. This examination may take place with or without the consent, presence, or knowledge of the involved users. The information systems subject to such examination include, but are not limited to, electronic mail system files, personal computer hard drive files, voicemail files, printer spool files. Since the Village of Scottsville's computers and networks are provided for business purposes only, users should have no expectation of privacy associated with the information they store in or send through these information systems. The Village of Scottsville additionally retains the right to remove from its information systems any material it views as offensive or potentially illegal.
- All users are expected to report any unusual events, viruses, security breaches, unauthorized accesses to the department head.
- All users are expected to take measures to back-up data and secure any data back-ups.

Security and Proprietary Information

- The user interface for information contained on Internet/Intranet/Extranet-related systems should be classified as either confidential or not confidential.
- Keep passwords secure and do not share accounts. Authorized users are responsible for the security of their passwords and accounts. System level passwords should be changed quarterly; user level passwords should be changed every six months.
- All unsecured PCs, laptops and workstations should be secured with a password-protected screensaver with the automatic activation feature set at 10 minutes or less, or by logging-off (control-alt-delete for Win2K users) when the host will be unattended.
- Use encryption of information if necessary
- Because information contained on portable computers is especially vulnerable, special care should be exercised.
- Postings by employees from a the Village of Scottsville email address to newsgroups should contain a disclaimer stating that the opinions expressed are strictly their own and not necessarily those of the Village of Scottsville, unless posting is in the course of business duties.
- All hosts used by the employee that are connected to the Village of Scottsville Internet/Intranet/Extranet, whether owned by the employee or The Village of Scottsville, shall be

continually executing approved virus-scanning software with a current virus database. Unless overridden by departmental or group policy.

- Employee must use extreme caution when opening e-mail attachments received from unknown senders, which may contain viruses, e-mail bombs, or Trojan horse code.
- Information about computer systems, equipment, security measures and access to The Village of Scottsville computer and network systems is sensitive and Protected Critical Infrastructure Information as defined by the Department of Homeland Security. Any and all Protected Critical Infrastructure Information must be controlled not be released to people who are not authorized users.

Unacceptable Use

The following activities are, in general, prohibited. Employees may be exempted from these restrictions during the course of their legitimate job responsibilities (e.g., systems administration staff may have a need to disable the network access of a host if that host is disrupting production services).

Under no circumstances is a employee of the Village of Scottsville authorized to engage in any activity that is illegal under local, state, federal or international law while utilizing the Village of Scottsville owned resources. The lists below are by no means exhaustive, but attempt to provide a framework for activities that fall into the category of unacceptable use.

System and Network Activities

The following activities are strictly prohibited, with no exceptions:

- Violations of the rights of any person or company protected by copyright, trade secret, patent or other intellectual property, or similar laws or regulations, including, but not limited to, the installation or distribution of "pirated" or other software products that are not appropriately licensed for use by the Village of Scottsville.
- Unauthorized copying of copyrighted material including, but not limited to, digitization and distribution of photographs from magazines, books or other copyrighted sources, copyrighted music, and the installation of any copyrighted software for which the Village of Scottsville or the end user does not have an active license is strictly prohibited.
- Exporting software, technical information, encryption software or technology, in violation of international or regional export control laws, is illegal. The appropriate management should be consulted prior to export of any material that is in question.
- Introduction of malicious programs into the network or server (e.g., viruses, worms, Trojan horses, e-mail bombs, etc.).
- Revealing your account password to others or allowing use of your account by others. This includes family and other household members when work is being done at home.
- Using a the Village of Scottsville computing asset to actively engage in procuring or transmitting material that is in violation of sexual harassment or hostile workplace laws in the user's local jurisdiction.

- Making fraudulent offers of products, items, or services originating from any the Village of Scottsville account.
- Making statements about warranty, expressly or implied, unless it is a part of normal job duties.
- Effecting security breaches or disruptions of network communication. Security breaches include, but are not limited to, accessing data of which the employee is not an intended recipient or logging into a server or account that the employee is not expressly authorized to access, unless these duties are within the scope of regular duties. For purposes of this section, "disruption" includes, but is not limited to, network sniffing, pinged floods, packet spoofing, denial of service, and forged routing information for malicious purposes.
- Port scanning or security scanning is expressly prohibited unless prior notification to the Board is made.
- Executing any form of network monitoring which will intercept data not intended for the employee's host, unless this activity is a part of the employee's normal job/duty.
- Circumventing user authentication or security of any host, network or account.
- Interfering with or denying service to any user other than the employee's host (for example, denial of service attack).
- Using any program/script/command, or sending messages of any kind, with the intent to interfere with, or disable, a user's terminal session, via any means, locally or via the Internet/Intranet/Extranet.
- Providing information about, or lists of, the Village of Scottsville members to parties outside the Village of Scottsville.

Email and Communications Activities

- Sending unsolicited email messages, including the sending of "junk mail" or other advertising material to individuals who did not specifically request such material (email spam).
- Any form of harassment via email, telephone or paging, whether through language, frequency, or size of messages.
- Unauthorized use, or forging, of email header information.
- Solicitation of email for any other email address, other than that of the poster's account, with the intent to harass or to collect replies.
- Creating or forwarding "chain letters", "Ponzi" or other "pyramid" schemes of any type.

- Use of unsolicited email originating from within the Village of Scottsville's networks of other Internet/Intranet/Extranet service providers on behalf of, or to advertise, any service hosted by the Village of Scottsville or connected via the Village of Scottsville's network.
- Posting the same or similar non-business-related messages to large numbers of Usenet newsgroups (newsgroup spam).
- E-mail privileges may be revoked or suspended at any time with or without cause.
- The Village of Scottsville specifically reserves the right to view or inspect any e-mails or files. Employees should not keep any personal information on any the Village of Scottsville system.

Enforcement

Any employee found to have violated this policy shall be subject to disciplinary action, up to and including termination of employment.

Receipt and Agreement to Terms

I have read the above and agree to abide the terms explained here; I realize that any breach of this agreement may affect my employee status:

Employee's Signature

Date

Please Print Your Name

Approved April 1, 2019

GENERAL FUND BALANCE POLICY

In an effort to protect Village citizens and/or taxpayers against potentially reducing service levels because of temporary revenue shortfalls, or to fund the need for unexpected one-time expenditures and uncontrollable emergencies and disasters, the Village of Scottsville hereby adopts this General Fund Balance Policy.

The Village Board will strive to maintain an unrestricted fund balance within a range equal to 10-20% of the most current year budgeted appropriations. In preparing each year's new budget, the Village Board will calculate the amount of fund balance available for budgeting, and decide how much fund balance to use in support of the budget.

At any time, should the amount of unrestricted fund balance exceed the 10-20% range set herein, the Village Board may appropriate some or all of the "excess" fund balance for desired one-time expenditures, contributions to existing reserve funds, or the creation of new, additional reserves.

Should the amount of unrestricted fund balance be below the 10-20% range set herein, the Village Board shall develop and adopt a fiscal plan to restore the "shortfall" of fund balance to no less than the 10% minimum of the range. Such plan should resolve the shortfall in no more than three years.

This General Fund Balance Policy will be reviewed and modified as necessary on no less than an annual basis (as part of the Village Board's Annual Organizational Meeting).

Adopted 3-10-15

Chapter 23

INVESTMENT POLICY

GENERAL REFERENCES

§ 23-1. Applicability.

This investment policy applies to all moneys and other financial resources available for investment on its own behalf or on behalf of any other entity or individual.

§ 23-2. Objectives.

The primary objectives of the local government's investment activities are, in priority order, to:

- A. Conform with all applicable federal, state and other legal requirements (legal).
- B. Adequately safeguard principal (safety).
- C. Provide sufficient liquidity to meet all operating requirements (liquidity).
- D. Obtain a reasonable rate of return (yield).

§ 23-3. Delegation of administrative responsibilities.¹

The governing board's responsibility for administration of the investment program is delegated to the Treasurer, who shall establish written procedures for the operation of the investment program consistent with these investment guidelines. Such procedures shall include an adequate internal control structure to provide a satisfactory level of accountability based on a data base or records incorporating the description and amounts of investments, transaction dates and other relevant information and to regulate the activities of subordinate employees.

§ 23-4. Manner of investing; responsibility.

- A. All participants in the investment process shall seek to act responsibly as custodians of the public trust and shall avoid any transaction that might impair public confidence in the Village of Scottsville to govern effectively.

1. Editor's Note: Amended at time of adoption of Code (see Ch. 1, General Provisions, Art. I).

- B. Investments shall be made with judgment and care, under circumstances then prevailing, which persons of prudence, discretion and intelligence exercise in the management of their own affairs, not for speculation, but for investment, considering the safety of the principal as well as the probable income to be derived.
- C. All participants involved in the investment process shall refrain from personal business activity that could conflict with proper execution of the investment program or which could impair their ability to make impartial investment decisions.

§ 23-5. Transfer of funds; internal controls.²

- A. It is the policy of the Village of Scottsville for all moneys collected by any officer or employee of the government to transfer those funds to the chief fiscal officer within five days of deposit or within the time period specified in law, whichever is shorter.
- B. The Treasurer is responsible for establishing and maintaining an internal control structure to provide reasonable, but not absolute, assurance that deposits and investments are safeguarded against loss from unauthorized use or disposition and that transactions are executed in accordance with management's authorization and recorded properly and are managed in compliance with applicable laws and regulations.

§ 23-6. Designation of depositories. [Amended 4-3-1995³]

The approved list of depositories of the Village of Scottsville to which funds may be invested is on file in the Village Clerk's office.

§ 23-7. Deposits to be secured.

In accordance with the provisions of General Municipal Law § 10, all deposits of the Village of Scottsville, including certificates of deposit and special time deposits, in excess of the amount insured under the provisions of the Federal Deposit Insurance Act shall be secured as follows:

- A. By a pledge of eligible securities with an aggregate market value or provided by General Municipal Law § 10 equal to the aggregate amount of deposits from the categories designated in Appendix A to this policy.⁴
- B. By an eligible irrevocable letter of credit issued by a qualified bank other than the bank with the deposits in favor of the government for a term not to exceed 90 days with an aggregate value equal to 140% of the aggregate amount of deposits and the agreed-upon interest, if any. A qualified bank is one whose commercial paper and other unsecured

2. Editor's Note: Amended at time of adoption of Code (see Ch. 1, General Provisions, Art. I).

3. Editor's Note: Amended at time of adoption of Code (see Ch. 1, General Provisions, Art. I).

4. Editor's Note: Appendix A is located at the end of this chapter.

short-term debt obligations are rated in one of the three highest rating categories by at least one nationally recognized statistical rating organization or by a bank that is in compliance with applicable federal minimum risk-based capital requirements.

- C. By an eligible surety bond payable to the government for an amount at least equal to 100% of the aggregate amount of deposits and the agreed-upon interest, if any, executed by an insurance company authorized to do business in New York State, whose claims-paying ability is rated in the highest rating category by at least two nationally recognized statistical rating organizations.

§ 23-8. Security and custodial agreements.

- A. Eligible securities used for collateralizing deposits shall be held by (the depository and/or a third party) bank or trust company subject to security and custodial agreements.
- B. The security agreement shall provide that eligible securities are being pledged to secure local government deposits, together with agreed-upon interest, if any, and any costs or expenses arising out of the collection of such deposits upon default. It shall also provide the conditions under which the securities may be sold, presented for payment, substituted or released and the events which will enable the local government to exercise its rights against the pledged securities. In the event that the securities are not registered or inscribed in the name of the local government, such securities shall be delivered in a form suitable for transfer or with an assignment in blank to the depository or its custodial bank.
- C. The custodial agreement shall provide that securities held by the bank or trust company or agent of and custodian for the local government will be kept separate and apart from the general assets of the custodial bank or trust company and will not, in any circumstances, be commingled with or become part of the backing for any other deposit or other liabilities. The agreement should also describe that the custodian shall confirm the receipt, substitution or release of the securities. The agreement shall provide for the frequency of revaluation of eligible securities and for the substitution of securities when a change in the rating of a security may cause ineligibility. Such agreement shall include all provisions necessary to provide the local government a perfected interest in the securities.

§ 23-9. Permitted investments.

- A. Village funds not immediately needed for village operations may be invested in the following types of investments: **[Amended 4-3-1995]**
 - (1) Insured savings accounts.
 - (2) Certificates of deposit.

(3) United States government treasury bills.

- B. Investments may be made only in commercial banks and the United States government and must be collateralized to the extent that amounts exceed Federal Deposit Insurance Corporation (FDIC) Insurance. **[Amended 4-3-1995]**
- C. All investment obligations shall be payable or redeemable at the option of the Village of Scottsville within such times as the proceeds will be needed to meet expenditures for purposes for which the moneys were provided and, in the case of obligations purchased with the proceeds of bonds or notes, shall be payable or redeemable at the option of the Village of Scottsville within two years of the date of purchase.

§ 23-10. Authorized financial institutions and dealers.⁵

The Village of Scottsville shall maintain a list of financial institutions and dealers approved for investment purposes and establish appropriate limits to the amount of investments which can be made with each financial institution or dealer. All financial institutions with which the local government conducts business must be creditworthy. Banks shall provide their most recent Consolidated Report of Condition (Call Report) at the request of the Village of Scottsville. Security dealers not affiliated with a bank shall be required to be classified as reporting dealers affiliated with the New York Federal Reserve Bank as primary dealers. The Treasurer is responsible for evaluating the financial position and maintaining a listing of proposed depositories, trading partners and custodians. Such listing shall be evaluated at least annually.

§ 23-11. Purchase of investments.

- A. The Treasurer is authorized to contract for the purchase of investments as follows:⁶
- (1) Directly, including through a repurchase agreement, from an authorized trading partner.
 - (2) By participation in a cooperative investment program with another authorized governmental entity pursuant to Article 5G of the General Municipal Law where such program meets all the requirements set forth in the Office of the State Comptroller Opinion No. 88-46, and the specific program has been authorized by the governing board.
 - (3) By utilizing an ongoing investment program with an authorized trading partner pursuant to a contract authorized by the governing board.

5. Editor's Note: Amended at time of adoption of Code (see Ch. 1, General Provisions, Art. I).

6. Editor's Note: Amended at time of adoption of Code (see Ch. 1, General Provisions, Art. I).

- B. All purchased obligations, unless registered or inscribed in the name of the local government, shall be purchased through, delivered to and held in the custody of a bank or trust company. Such obligations shall be purchased, sold or presented for redemption or payment by such bank or trust company only in accordance with prior written authorization from the officer authorized to make the investment. All such transactions shall be confirmed, in writing, to the Village of Scottsville by the bank or trust company. Any obligations held in the custody of a bank or trust company shall be held pursuant to a written custodial agreement as described in General Municipal Law § 10.
- C. The custodial agreement shall provide that securities held by the bank or trust company, as agent of and custodian for the local government, will be kept separate and apart from the general assets of the custodial bank or trust company and will not, in any circumstances, be commingled with or become part of the backing for any other deposit or other liabilities. The agreement shall describe how the custodian shall confirm the receipt and release of the securities. Such agreement shall include all provisions necessary to provide the local government a perfected interest in the securities.

§ 23-12. Repurchase agreements.

Repurchase agreements are authorized subject to the following restrictions:

- A. All repurchase agreements must be entered into subject to a master repurchase agreement.
- B. Trading partners are limited to banks or trust companies authorized to do business in New York State and primary reporting dealers.
- C. Obligations shall be limited to obligations of the United States of America and obligations of agencies of the United States of America where principal and interest are guaranteed by the United States of America.
- D. No substitution of securities will be allowed.
- E. The custodian shall be a party other than the trading partner.

Village of Scottsville, NY Online Banking Policy

Wire Transfers include Bond payment, investments or other large dollar settlements

Electronic Transfers include small dollar settlements, repetitive transactions and Federal, State, Local-Aid, and grant payments.

Safeguards:

Due to the ease with which electronic and wire transfers are made, it is necessary to control, authorize and monitor access to all in-house electronic and wire transfers.

Each electronic transaction should involve at least 2 individuals.

- The Village must have a signed agreement with the bank.
- Security procedures may include a call back provision which will NOT be the employee who initiated the transfer or a secondary authorization by the Mayor.

Policy:

- Online banking is set up on a separate computer used designated solely for banking. It will be kept in the Village office at all times.
- The Mayor is designated as the system Administrator. Key fobs have been established for each user which includes the Mayor, Village Clerk, and Treasurer (in the absence of the Mayor a key fob for the Deputy Mayor will be kept in the vault).
- Only the Mayor may set up or edit user access
- All outgoing wire transfers and non-wire transfers REQUIRE a second approval. The Treasurer prepares them and the Mayor (Deputy Mayor in the Mayor's absence) approves them.
- The Mayor should review transactions on a monthly basis. The transfer transactions are kept in the Monthly Financial Activity Binder.
- Monthly bank statements are to be reviewed by the Mayor.

Procedures/Duties:

Each wire transaction should involve at least 2 individuals.

- All transfers will go through an authorization process before the transaction is initiated. Documentation supporting the purpose of the transfer will be turned in and will include the source, destination, amount of the transfer and documentation to account for and record the transaction appropriately.
- What online banking and electronic funds transfer (EFT) will be use.
- The Treasurer is authorized to initiate electronic transactions
- After the electronic transaction is initiated by the Treasurer, the Mayor (or Deputy Mayor in the Mayor's absence) must approve the transaction.

- The Treasurer will then transmit and record the transaction.
- The Mayor will review and reconcile the electronic transaction.
- Legal counsel will review all agreements.

Monitoring:

Internal Controls:

- All electronic and wire transfers will be documented and recorded.
- The designated bank will provide the officer initiating the transfer with written confirmation by the next business day.

Adopted April 1, 2019

Village of Scottsville

Petty Cash Policy

The Petty Cash Account is established make change and for postage for the Village. The Petty Cash Account may NOT be used for personal cash advances. All other expenses require a formal voucher.

The Village Office will have an amount of \$200.00 in petty cash.

Procedures:

- The Village Clerk will verify the information on the receipt against the requested amount of cash before fulfilling the reimbursement request. The recipient will sign the petty cash slip to confirm receipt.
- On a weekly basis, the Village Clerk will reconcile the account to verify the remaining cash plus attached receipts equal the authorized petty cash amount. Another employee will confirm the reconciliation.
- As needed, the Village Clerk will submit the receipts to the Treasurer. A check will be issued for the amount of cash needed to replenish the fund to its authorized amount. The check will be made payable to the Village Clerk and be cashed by the recipient. Immediately after cashing the check, the Village Clerk will replenish the Petty Cash Fund.
- The Treasurer will conduct periodic petty cash audits to ensure the proper management of the fund.

Adopted April 1, 2019

The Village of Scottsville Computer Policy

Overview

The Board's intentions for publishing an Acceptable Computer Use Policy are not to impose restrictions that are contrary to the Village of Scottsville, but to establish a culture of openness, trust and integrity. The Board is committed to protecting the Village of Scottsville from illegal or damaging actions by individuals, either knowingly or unknowingly.

Internet/Intranet/Extranet-related systems, including but not limited to computer equipment, software, operating systems, storage media, network accounts providing electronic mail, surfing, are the property of the Village of Scottsville. These systems are to be used for business purposes in serving the interests of the Village and of our residents in the course of normal operations.

Effective security is a team effort involving the participation and support of every the Village of Scottsville employee and affiliate who deals with information and/or information systems. It is the responsibility of every computer user to know these guidelines, and to conduct their activities accordingly.

Access to and use of the Village of Scottsville's computers, systems, software, local area network, e-mail and internet are a privilege. The Village of Scottsville may revoke or limit any and all user privileges at any time, with or without cause.

Purpose

The purpose of this policy is to outline the acceptable use of computer equipment, computer systems, software, e-mail, Internet usage and Internet access at the Village of Scottsville.

These rules are in place to protect the employee and the Village of Scottsville. Inappropriate use exposes the Village of Scottsville to risks including virus attacks, compromise of network systems and services, and legal issues.

Scope

This policy applies to employees, contractors, consultants, temporaries, and other workers at the Village of Scottsville including all personnel affiliated with third parties. This policy applies to all equipment, systems and software that is owned or leased by the Village of Scottsville.

Policy Overview

General Use and Ownership

- While the Village of Scottsville's network administration desires to provide a reasonable level of privacy, users should be aware that the data they create on the corporate systems remains the property of the Village of Scottsville. Because of the need to protect the Village of Scottsville's network, management cannot guarantee the confidentiality of information stored on any network device belonging to the Village of Scottsville.
- Employees are responsible for exercising good judgment regarding the reasonableness of personal use.
- The Board recommends that any information that users consider sensitive or vulnerable be encrypted.

- For security and network maintenance purposes, authorized individuals within the Village of Scottsville may monitor equipment, systems and network traffic at any time.
- The Village of Scottsville reserves the right to audit networks and systems on a periodic basis to ensure compliance with this policy.
- The computer system, e-mail system, internet access system, local area network, and the data therein are owned by the Village of Scottsville.
- Right to search and monitor to ensure compliance with the Village of Scottsville internal policies as well as applicable laws and regulations, and to ensure employee safety, the Village of Scottsville reserves the right to monitor, inspect, and/or search at any time the Village of Scottsville information systems. This examination may take place with or without the consent, presence, or knowledge of the involved users. The information systems subject to such examination include, but are not limited to, electronic mail system files, personal computer hard drive files, voicemail files, printer spool files. Since the Village of Scottsville's computers and networks are provided for business purposes only, users should have no expectation of privacy associated with the information they store in or send through these information systems. The Village of Scottsville additionally retains the right to remove from its information systems any material it views as offensive or potentially illegal.
- All users are expected to report any unusual events, viruses, security breaches, unauthorized accesses to the department head.
- All users are expected to take measures to back-up data and secure any data back-ups.

Security and Proprietary Information

- The user interface for information contained on Internet/Intranet/Extranet-related systems should be classified as either confidential or not confidential.
- Keep passwords secure and do not share accounts. Authorized users are responsible for the security of their passwords and accounts. System level passwords should be changed quarterly; user level passwords should be changed every six months.
- All unsecured PCs, laptops and workstations should be secured with a password-protected screensaver with the automatic activation feature set at 10 minutes or less, or by logging-off (control-alt-delete for Win2K users) when the host will be unattended.
- Use encryption of information if necessary
- Because information contained on portable computers is especially vulnerable, special care should be exercised.
- Postings by employees from a the Village of Scottsville email address to newsgroups should contain a disclaimer stating that the opinions expressed are strictly their own and not necessarily those of the Village of Scottsville, unless posting is in the course of business duties.
- All hosts used by the employee that are connected to the Village of Scottsville Internet/Intranet/Extranet, whether owned by the employee or The Village of Scottsville, shall be

continually executing approved virus-scanning software with a current virus database. Unless overridden by departmental or group policy.

- Employee must use extreme caution when opening e-mail attachments received from unknown senders, which may contain viruses, e-mail bombs, or Trojan horse code.
- Information about computer systems, equipment, security measures and access to The Village of Scottsville computer and network systems is sensitive and Protected Critical Infrastructure Information as defined by the Department of Homeland Security. Any and all Protected Critical Infrastructure Information must be controlled not be released to people who are not authorized users.

Unacceptable Use

The following activities are, in general, prohibited. Employees may be exempted from these restrictions during the course of their legitimate job responsibilities (e.g., systems administration staff may have a need to disable the network access of a host if that host is disrupting production services).

Under no circumstances is a employee of the Village of Scottsville authorized to engage in any activity that is illegal under local, state, federal or international law while utilizing the Village of Scottsville owned resources. The lists below are by no means exhaustive, but attempt to provide a framework for activities that fall into the category of unacceptable use.

System and Network Activities

The following activities are strictly prohibited, with no exceptions:

- Violations of the rights of any person or company protected by copyright, trade secret, patent or other intellectual property, or similar laws or regulations, including, but not limited to, the installation or distribution of "pirated" or other software products that are not appropriately licensed for use by the Village of Scottsville.
- Unauthorized copying of copyrighted material including, but not limited to, digitization and distribution of photographs from magazines, books or other copyrighted sources, copyrighted music, and the installation of any copyrighted software for which the Village of Scottsville or the end user does not have an active license is strictly prohibited.
- Exporting software, technical information, encryption software or technology, in violation of international or regional export control laws, is illegal. The appropriate management should be consulted prior to export of any material that is in question.
- Introduction of malicious programs into the network or server (e.g., viruses, worms, Trojan horses, e-mail bombs, etc.).
- Revealing your account password to others or allowing use of your account by others. This includes family and other household members when work is being done at home.
- Using a the Village of Scottsville computing asset to actively engage in procuring or transmitting material that is in violation of sexual harassment or hostile workplace laws in the user's local jurisdiction.

- Making fraudulent offers of products, items, or services originating from any the Village of Scottsville account.
- Making statements about warranty, expressly or implied, unless it is a part of normal job duties.
- Effecting security breaches or disruptions of network communication. Security breaches include, but are not limited to, accessing data of which the employee is not an intended recipient or logging into a server or account that the employee is not expressly authorized to access, unless these duties are within the scope of regular duties. For purposes of this section, "disruption" includes, but is not limited to, network sniffing, pinged floods, packet spoofing, denial of service, and forged routing information for malicious purposes.
- Port scanning or security scanning is expressly prohibited unless prior notification to the Board is made.
- Executing any form of network monitoring which will intercept data not intended for the employee's host, unless this activity is a part of the employee's normal job/duty.
- Circumventing user authentication or security of any host, network or account.
- Interfering with or denying service to any user other than the employee's host (for example, denial of service attack).
- Using any program/script/command, or sending messages of any kind, with the intent to interfere with, or disable, a user's terminal session, via any means, locally or via the Internet/Intranet/Extranet.
- Providing information about, or lists of, the Village of Scottsville members to parties outside the Village of Scottsville.

Email and Communications Activities

- Sending unsolicited email messages, including the sending of "junk mail" or other advertising material to individuals who did not specifically request such material (email spam).
- Any form of harassment via email, telephone or paging, whether through language, frequency, or size of messages.
- Unauthorized use, or forging, of email header information.
- Solicitation of email for any other email address, other than that of the poster's account, with the intent to harass or to collect replies.
- Creating or forwarding "chain letters", "Ponzi" or other "pyramid" schemes of any type.

- Use of unsolicited email originating from within the Village of Scottsville's networks of other Internet/Intranet/Extranet service providers on behalf of, or to advertise, any service hosted by the Village of Scottsville or connected via the Village of Scottsville's network.
- Posting the same or similar non-business-related messages to large numbers of Usenet newsgroups (newsgroup spam).
- E-mail privileges may be revoked or suspended at any time with or without cause.
- The Village of Scottsville specifically reserves the right to view or inspect any e-mails or files. Employees should not keep any personal information on any the Village of Scottsville system.

Enforcement

Any employee found to have violated this policy shall be subject to disciplinary action, up to and including termination of employment.

Receipt and Agreement to Terms

I have read the above and agree to abide the terms explained here; I realize that any breach of this agreement may affect my employee status:

Employee's Signature

Date

Please Print Your Name

Policy Name: Inventory and equipment

Objective:

Provide management guidelines for managing the use and security of company inventory and equipment

Applies to:

Employees

Key guidelines:

PC's, equipment, and supplies are purchased for company employee use and productivity. It is the responsibility of all employees and managers to manage the security of company equipment and supplies in order to cost effectively manage the company's expense in these areas.

Allocating equipment to employees

- Equipment is assigned to employees based upon their job function. *The Village* Managers should maintain a list of equipment allocated to each of his/her employees. (See sample Employee Inventory Allocation log)
- Specific equipment should be tracked by employee includes, but is not limited to:
 - PC's (both desktop and laptop)
 - PC peripherals (scanners, printers, modems, etc.)
 - Faxes
 - Pagers
 - Cell phones
 - Building access keys and access cards

Employee termination

- One of the responsibilities of the *Village* manager is to collect all allocated equipment issued to an employee who leaves the company. Maintaining the Employee Inventory Allocation Log makes it a simple process.
- ~~Employees not able to return allocated equipment are responsible for reimbursing the company for the fair market value of the item.~~

Technology assets

Village

- The ~~IT~~ Department will maintain an accurate inventory of all networked technology assets, laptops, and tangible technology equipment valued at over \$250.00 of the company to include the following information:
 - Item
 - Company ID#
 - Serial #
 - Basic configuration (i.e., Dell PC Desktop -1GB RAM, 100GB FD, CD-RW)
 - Physical location
 - Operating system release level
 - Date placed in service
 - Original cost
- Technology equipment will be tagged for easy identification.
- Periodic inventory audits will be conducted to validate the inventory and to identify maintenance issues needed for employee productivity.

Samples:

Department Employee Inventory Allocation log

Dept. Employee Inventory Allocations						
Employee	PC	Peripheral	Cell phone	Paper	Other	Other
Bob Example	DT Laptop	HP820 HP scanner	1		Bldg A Data Ctr.	Fax
Totals	1- DT	1-HP820	1	0	1-Bldg A	1-Fax
	1-Laptop	1-HP scanner			1-Data Ctr.	

Sexual Harassment Policy for All Employers in New York State



Combating
Sexual Harassment

The Village of Scottsville has adopted this recommended Sexual Harassment Policy on January 8, 2019.

Introduction

The Village of Scottsville is committed to maintaining a workplace free from sexual harassment. Sexual harassment is a form of workplace discrimination. All employees are required to work in a manner that prevents sexual harassment in the workplace. This Policy is one component of the Village of Scottsville's commitment to a discrimination-free work environment. Sexual harassment is against the law¹ and all employees have a legal right to a workplace free from sexual harassment and employees are urged to report sexual harassment by filing a complaint internally with the Village of Scottsville. Employees can also file a complaint with a government agency or in court under federal, state or local antidiscrimination laws.

Policy:

1. The Village of Scottsville's policy applies to all employees, applicants for employment, interns, whether paid or unpaid, contractors and persons conducting business, regardless of immigration status, with the Village of Scottsville. In the remainder of this document, the term "employees" refers to this collective group.
2. Sexual harassment will not be tolerated. Any employee or individual covered by this policy who engages in sexual harassment or retaliation will be subject to remedial and/or disciplinary action (e.g., counseling, suspension, termination).
3. Retaliation Prohibition: No person covered by this Policy shall be subject to adverse action because the employee reports an incident of sexual harassment, provides information, or otherwise assists in any investigation of a sexual harassment complaint. The Village of Scottsville will not tolerate such retaliation against anyone who, in good faith, reports or provides information about suspected sexual harassment. Any employee of the Village of Scottsville who retaliates against anyone involved in a sexual harassment investigation will be subjected to disciplinary action, up to and including termination. All employees, paid or unpaid interns, or non-employees² working in the workplace who believe they have been subject to such retaliation should inform a supervisor, manager, or the Mayor. All employees, paid or unpaid interns or non-employees who believe they have been a target of such retaliation may also seek relief in other available forums, as explained below in the section on Legal Protections.

¹ While this policy specifically addresses sexual harassment, harassment because of and discrimination against persons of all protected classes is prohibited. In New York State, such classes include age, race, creed, color, national origin, sexual orientation, military status, sex, disability, marital status, domestic violence victim status, gender identity and criminal history.

² A non-employee is someone who is (or is employed by) a contractor, subcontractor, vendor, consultant, or anyone providing services in the workplace. Protected non-employees include persons commonly referred to as independent contractors, "gig" workers and temporary workers. Also included are persons providing equipment repair, cleaning services or any other services provided pursuant to a contract with the employer.

4. Sexual harassment is offensive, is a violation of our policies, is unlawful, and may subject the Village of Scottsville to liability for harm to targets of sexual harassment. Harassers may also be individually subject to liability. Employees of every level who engage in sexual harassment, including managers and supervisors who engage in sexual harassment or who allow such behavior to continue, will be penalized for such misconduct.
5. The Village of Scottsville will conduct a prompt and thorough investigation that ensures due process for all parties, whenever management receives a complaint about sexual harassment, or otherwise knows of possible sexual harassment occurring. the Village of Scottsville will keep the investigation confidential to the extent possible. Effective corrective action will be taken whenever sexual harassment is found to have occurred. All employees, including managers and supervisors, are required to cooperate with any internal investigation of sexual harassment.
6. All employees are encouraged to report any harassment or behaviors that violate this policy. The Village of Scottsville will provide all employees a complaint form for employees to report harassment and file complaints.
7. Managers and supervisors are **required** to report any complaint that they receive, or any harassment that they observe or become aware of to the Mayor.
8. This policy applies to all employees, paid or unpaid interns, and non-employees and all must follow and uphold this policy. This policy must be provided to all employees and should be posted prominently in all work locations to the extent practicable (for example, in a main office, not an offsite work location) and be provided to employees upon hiring.

What Is “Sexual Harassment”?

Sexual harassment is a form of sex discrimination and is unlawful under federal, state, and (where applicable) local law. Sexual harassment includes harassment on the basis of sex, sexual orientation, self-identified or perceived sex, gender expression, gender identity and the status of being transgender.

Sexual harassment includes unwelcome conduct which is either of a sexual nature, or which is directed at an individual because of that individual's sex when:

- Such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile or offensive work environment, even if the reporting individual is not the intended target of the sexual harassment;
- Such conduct is made either explicitly or implicitly a term or condition of employment; or
- Submission to or rejection of such conduct is used as the basis for employment decisions affecting an individual's employment.

A sexually harassing hostile work environment includes, but is not limited to, words, signs, jokes, pranks, intimidation or physical violence which are of a sexual nature, or which are directed at an individual because of that individual's sex. Sexual harassment also consists of any unwanted verbal or physical advances, sexually explicit derogatory statements or sexually discriminatory remarks made by someone which are offensive or objectionable to the recipient, which cause the recipient discomfort or humiliation, which interfere with the recipient's job performance.

Sexual harassment also occurs when a person in authority tries to trade job benefits for sexual favors. This can include hiring, promotion, continued employment or any other terms, conditions or privileges of employment. This is also called "quid pro quo" harassment.

Any employee who feels harassed should report so that any violation of this policy can be corrected promptly. Any harassing conduct, even a single incident, can be addressed under this policy.

Examples of sexual harassment

The following describes some of the types of acts that may be unlawful sexual harassment and that are strictly prohibited:

- Physical acts of a sexual nature, such as:
 - Touching, pinching, patting, kissing, hugging, grabbing, brushing against another employee's body or poking another employee's body;
 - Rape, sexual battery, molestation or attempts to commit these assaults.
- Unwanted sexual advances or propositions, such as:
 - Requests for sexual favors accompanied by implied or overt threats concerning the target's job performance evaluation, a promotion or other job benefits or detriments;
 - Subtle or obvious pressure for unwelcome sexual activities.
- Sexually oriented gestures, noises, remarks or jokes, or comments about a person's sexuality or sexual experience, which create a hostile work environment.
- Sex stereotyping occurs when conduct or personality traits are considered inappropriate simply because they may not conform to other people's ideas or perceptions about how individuals of a particular sex should act or look.
- Sexual or discriminatory displays or publications anywhere in the workplace, such as:
 - Displaying pictures, posters, calendars, graffiti, objects, promotional material, reading materials or other materials that are sexually demeaning or pornographic. This includes such sexual displays on workplace computers or cell phones and sharing such displays while in the workplace.
- Hostile actions taken against an individual because of that individual's sex, sexual orientation, gender identity and the status of being transgender, such as:
 - Interfering with, destroying or damaging a person's workstation, tools or equipment, or otherwise interfering with the individual's ability to perform the job;
 - Sabotaging an individual's work;

- Bullying, yelling, name-calling.

Who can be a target of sexual harassment?

Sexual harassment can occur between any individuals, regardless of their sex or gender. New York Law protects employees, paid or unpaid interns, and non-employees, including independent contractors, and those employed by companies contracting to provide services in the workplace. Harassers can be a superior, a subordinate, a coworker or anyone in the workplace including an independent contractor, contract worker, vendor, client, customer or visitor.

Where can sexual harassment occur?

Unlawful sexual harassment is not limited to the physical workplace itself. It can occur while employees are traveling for business or at employer sponsored events or parties. Calls, texts, emails, and social media usage by employees can constitute unlawful workplace harassment, even if they occur away from the workplace premises, on personal devices or during non-work hours.

Retaliation

Unlawful retaliation can be any action that could discourage a worker from coming forward to make or support a sexual harassment claim. Adverse action need not be job-related or occur in the workplace to constitute unlawful retaliation (e.g., threats of physical violence outside of work hours).

Such retaliation is unlawful under federal, state, and (where applicable) local law. The New York State Human Rights Law protects any individual who has engaged in “protected activity.” Protected activity occurs when a person has:

- made a complaint of sexual harassment, either internally or with any anti-discrimination agency;
- testified or assisted in a proceeding involving sexual harassment under the Human Rights Law or other anti-discrimination law;
- opposed sexual harassment by making a verbal or informal complaint to management, or by simply informing a supervisor or manager of harassment;
- reported that another employee has been sexually harassed; or
- encouraged a fellow employee to report harassment.

Even if the alleged harassment does not turn out to rise to the level of a violation of law, the individual is protected from retaliation if the person had a good faith belief that the practices were unlawful. However, the retaliation provision is not intended to protect persons making intentionally false charges of harassment.

Reporting Sexual Harassment

Preventing sexual harassment is everyone's responsibility. The Village of Scottsville cannot prevent or remedy sexual harassment unless it knows about it. Any employee, paid or unpaid intern or non-employee who has been subjected to behavior that may constitute sexual harassment is encouraged to report such behavior to a supervisor, manager or the Mayor. Anyone who witnesses or becomes aware of potential instances of sexual harassment should report such behavior to a supervisor, manager or the Mayor.

Reports of sexual harassment may be made verbally or in writing. A form for submission of a written complaint is attached to this Policy, and all employees are encouraged to use this complaint form. Employees who are reporting sexual harassment on behalf of other employees should use the complaint form and note that it is on another employee's behalf.

Employees, paid or unpaid interns or non-employees who believe they have been a target of sexual harassment may also seek assistance in other available forums, as explained below in the section on Legal Protections.

Supervisory Responsibilities

All supervisors and managers who receive a complaint or information about suspected sexual harassment, observe what may be sexually harassing behavior or for any reason suspect that sexual harassment is occurring, **are required** to report such suspected sexual harassment to the Mayor.

In addition to being subject to discipline if they engaged in sexually harassing conduct themselves, supervisors and managers will be subject to discipline for failing to report suspected sexual harassment or otherwise knowingly allowing sexual harassment to continue.

Supervisors and managers will also be subject to discipline for engaging in any retaliation.

Complaint and Investigation of Sexual Harassment

All complaints or information about sexual harassment will be investigated, whether that information was reported in verbal or written form. Investigations will be conducted in a timely manner and will be confidential to the extent possible.

An investigation of any complaint, information or knowledge of suspected sexual harassment will be prompt and thorough, commenced immediately and completed as soon as possible. The investigation will be kept confidential to the extent possible. All persons involved, including complainants, witnesses and alleged harassers will be accorded due process, as outlined below, to protect their rights to a fair and impartial investigation.

Any employee may be required to cooperate as needed in an investigation of suspected sexual harassment. The Village of Scottsville will not tolerate retaliation against employees who file

complaints, support another's complaint or participate in an investigation regarding a violation of this policy.

While the process may vary from case to case, investigations should be done in accordance with the following steps:

- Upon receipt of complaint, the Mayor will conduct an immediate review of the allegations, and take any interim actions (e.g., instructing the respondent to refrain from communications with the complainant), as appropriate. If complaint is verbal, encourage the individual to complete the "Complaint Form" in writing. If he or she refuses, prepare a Complaint Form based on the verbal reporting.
- If documents, emails or phone records are relevant to the investigation, take steps to obtain and preserve them.
- Request and review all relevant documents, including all electronic communications.
- Interview all parties involved, including any relevant witnesses;
- Create a written documentation of the investigation (such as a letter, memo or email), which contains the following:
 - A list of all documents reviewed, along with a detailed summary of relevant documents;
 - A list of names of those interviewed, along with a detailed summary of their statements;
 - A timeline of events;
 - A summary of prior relevant incidents, reported or unreported; and
 - The basis for the decision and final resolution of the complaint, together with any corrective action(s).
- Keep the written documentation and associated documents in a secure and confidential location.
- Promptly notify the individual who reported and the individual(s) about whom the complaint was made of the final determination and implement any corrective actions identified in the written document.
- Inform the individual who reported of the right to file a complaint or charge externally as outlined in the next section.

Legal Protections And External Remedies

Sexual harassment is not only prohibited by the Village of Scottsville but is also prohibited by state, federal, and, where applicable, local law.

Aside from the internal process at the Village of Scottsville, employees may also choose to pursue legal remedies with the following governmental entities. While a private attorney is not required to file a complaint with a governmental agency, you may seek the legal advice of an attorney.

In addition to those outlined below, employees in certain industries may have additional legal protections.

State Human Rights Law (HRL)

The Human Rights Law (HRL), codified as N.Y. Executive Law, art. 15, § 290 et seq., applies to all employers in New York State with regard to sexual harassment, and protects employees, paid or unpaid interns and non-employees, regardless of immigration status. A complaint alleging violation of the Human Rights Law may be filed either with the Division of Human Rights (DHR) or in New York State Supreme Court.

Complaints with DHR may be filed any time **within one year** of the harassment. If an individual did not file at DHR, they can sue directly in state court under the HRL, **within three years** of the alleged sexual harassment. An individual may not file with DHR if they have already filed a HRL complaint in state court.

Complaining internally to the Village of Scottsville does not extend your time to file with DHR or in court. The one year or three years is counted from date of the most recent incident of harassment.

You do not need an attorney to file a complaint with DHR, and there is no cost to file with DHR.

DHR will investigate your complaint and determine whether there is probable cause to believe that sexual harassment has occurred. Probable cause cases are forwarded to a public hearing before an administrative law judge. If sexual harassment is found after a hearing, DHR has the power to award relief, which varies but may include requiring your employer to take action to stop the harassment, or redress the damage caused, including paying of monetary damages, attorney's fees and civil fines.

DHR's main office contact information is: NYS Division of Human Rights, One Fordham Plaza, Fourth Floor, Bronx, New York 10458. You may call (718) 741-8400 or visit: www.dhr.ny.gov.

Contact DHR at (888) 392-3644 or visit dhr.ny.gov/complaint for more information about filing a complaint. The website has a complaint form that can be downloaded, filled out, notarized and mailed to DHR. The website also contains contact information for DHR's regional offices across New York State.

Civil Rights Act of 1964

The United States Equal Employment Opportunity Commission (EEOC) enforces federal anti-discrimination laws, including Title VII of the 1964 federal Civil Rights Act (codified as 42 U.S.C. § 2000e et seq.). An individual can file a complaint with the EEOC anytime within 300 days from the harassment. There is no cost to file a complaint with the EEOC. The EEOC will investigate the complaint and determine whether there is reasonable cause to believe that discrimination has occurred, at which point the EEOC will issue a Right to Sue letter permitting the individual to file a complaint in federal court.

The EEOC does not hold hearings or award relief, but may take other action including pursuing cases in federal court on behalf of complaining parties. Federal courts may award remedies if discrimination is found to have occurred. In general, private employers must have at least 15 employees to come within the jurisdiction of the EEOC.

An employee alleging discrimination at work can file a "Charge of Discrimination." The EEOC has district, area, and field offices where complaints can be filed. Contact the EEOC by calling 1-800-669-4000 (TTY: 1-800-669-6820), visiting their website at www.eeoc.gov or via email at info@eeoc.gov.

If an individual filed an administrative complaint with DHR, DHR will file the complaint with the EEOC to preserve the right to proceed in federal court.

Local Protections

Many localities enforce laws protecting individuals from sexual harassment and discrimination. An individual should contact the county, city or town in which they live to find out if such a law exists. For example, employees who work in New York City may file complaints of sexual harassment with the New York City Commission on Human Rights. Contact their main office at Law Enforcement Bureau of the NYC Commission on Human Rights, 40 Rector Street, 10th Floor, New York, New York; call 311 or (212) 306-7450; or visit www.nyc.gov/html/cchr/html/home/home.shtml.

Contact the Local Police Department

If the harassment involves unwanted physical touching, coerced physical confinement or coerced sex acts, the conduct may constitute a crime. Contact the local police department.

Model Complaint Form for Reporting Sexual Harassment



Combating
Sexual Harassment

Village of Scottsville

New York State Labor Law requires all employers to adopt a sexual harassment prevention policy that includes a complaint form to report alleged incidents of sexual harassment.

If you believe that you have been subjected to sexual harassment, you are encouraged to complete this form and submit it to a supervisor or the Mayor. You will not be retaliated against for filing a complaint.

If you are more comfortable reporting verbally or in another manner, your employer should complete this form, provide you with a copy and follow its sexual harassment prevention policy by investigating the claims as outlined at the end of this form.

For additional resources, visit: ny.gov/programs/combating-sexual-harassment-workplace

COMPLAINANT INFORMATION

Name: _____

Work Address: _____ Work Phone: _____

Job Title: _____ Email: _____

Select Preferred Communication Method: ☐ Email ☐ Phone ☐ In person

SUPERVISORY INFORMATION

Immediate Supervisor's Name: _____

Title: _____

Work Phone: _____ Work Address: _____

COMPLAINT INFORMATION

1. Your complaint of Sexual Harassment is made about:

Name: _____ Title: _____

Work Address: _____ Work Phone: _____

Relationship to you: ☐ Supervisor ☐ Subordinate ☐ Co-Worker ☐ Other

2. Please describe what happened and how it is affecting you and your work. Please use additional sheets of paper if necessary and attach any relevant documents or evidence.

3. Date(s) sexual harassment occurred: _____

Is the sexual harassment continuing? ☐ Yes ☐ No

4. Please list the name and contact information of any witnesses or individuals who may have information related to your complaint:

The last question is optional, but may help the investigation.

5. Have you previously complained or provided information (verbal or written) about related incidents? If yes, when and to whom did you complain or provide information?

If you have retained legal counsel and would like us to work with them, please provide their contact information.

Signature: _____ Date: _____

Instructions for Employers

If you receive a complaint about alleged sexual harassment, follow your sexual harassment prevention policy.

An investigation involves:

- Speaking with the employee
- Speaking with the alleged harasser
- Interviewing witnesses
- Collecting and reviewing any related documents

While the process may vary from case to case, all allegations should be investigated promptly and resolved as quickly as possible. The investigation should be kept confidential to the extent possible.

Document the findings of the investigation and basis for your decision along with any corrective actions taken and notify the employee and the individual(s) against whom the complaint was made. This may be done via email.