

# Local School Financial Management

Knowing Your School/School District

Board Policies and Procedures  
And  
Student Information

# Disclaimer

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- The information contained herein has been prepared in good faith on behalf of AASBO and is for the sole purpose of information and education. Every effort has been made to ensure the accuracy of the information presented as factual. Users are directed to countercheck facts when considering their use of the information.

# Overview

- Legal Statute
- Board Policies
- Procedural Manuals
- Family Educational Rights and Privacy Act (FERPA)

# LEGAL STATUTE

- State Legislature
- Code of Alabama
  - Title 16
- Alabama State Board of Education
  - Administrative Code
- Local Board of Education
  - Board Policies

# Local Board of Education



# Roles and Responsibilities

- Community > Engagement
- **Board** > **Governance**
- Superintendent > District Leadership
- Principal > School Leadership
- Teacher > Instruction
- Student > Achievement

# Effective Boardsmanship: Collaboration

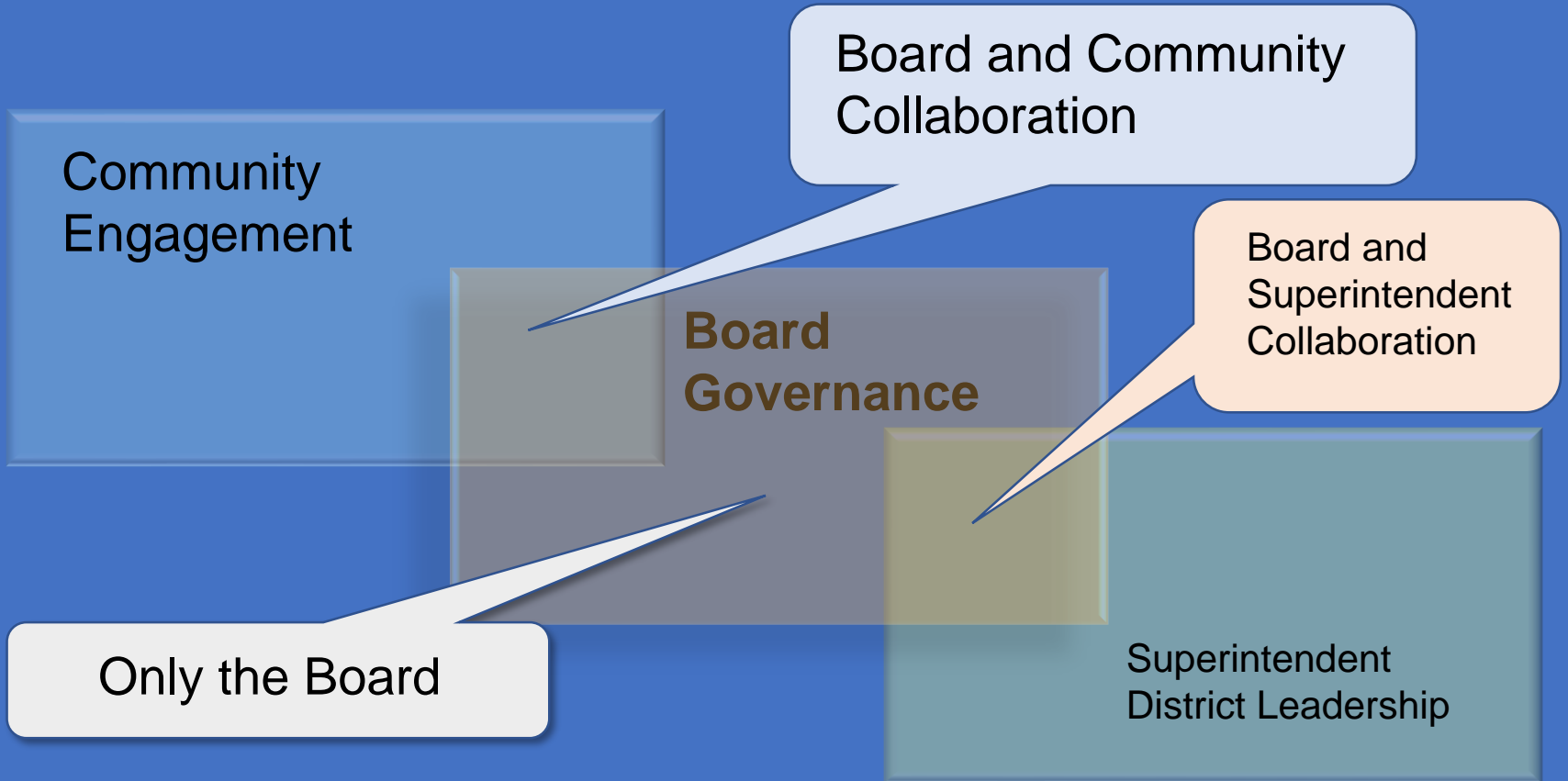
**Community  
Engagement**

**Board  
Governance**

**Superintendent  
District Leadership**

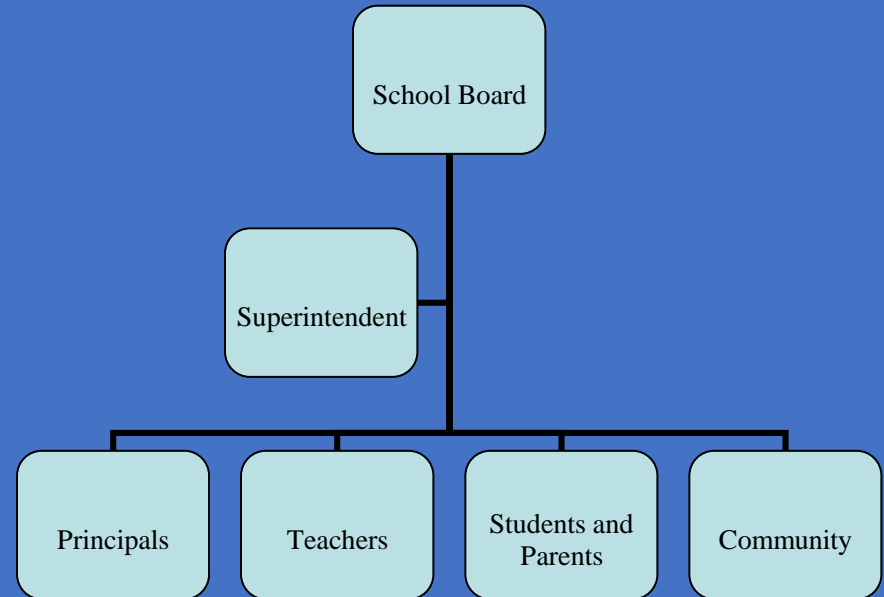
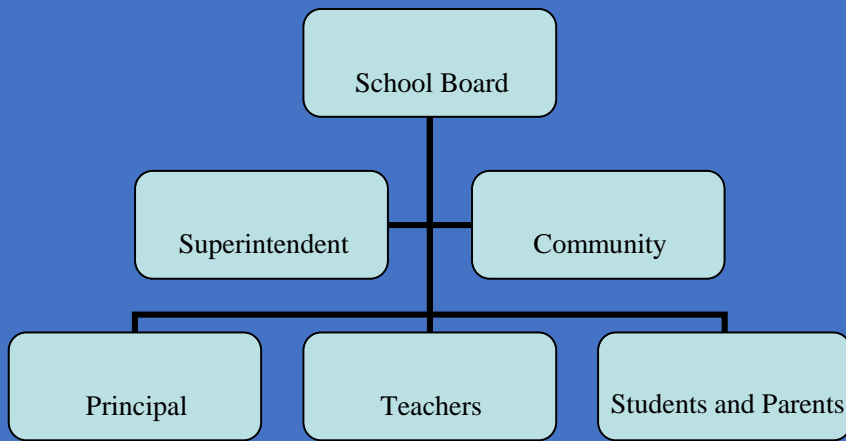
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# Effective Boardsmanship

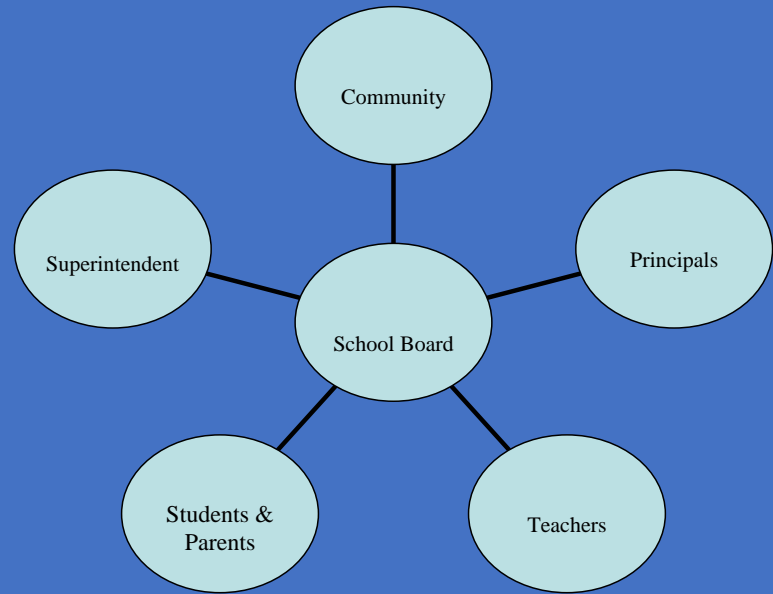
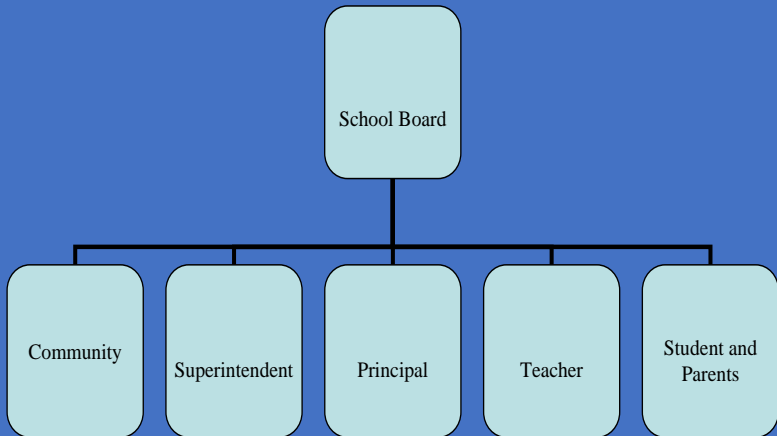




# Formal Organizational Structure Examples



- Formal Organizational Structure Examples



# School Board

- **ensure** that the district is accountable for student success?
- **assure** high expectations for student learning?
- **demonstrate** responsible school district governance?
- **engage** the local community?
- **create** conditions for student and staff success?

# Board Policies and Procedures

- How are district policy decisions made?
- What steps are used to adopt new or revised district policies?
- Which kinds of decisions require governing board (school board) authority, approval and which are delegated to administration?

# Board Policies

- SCHOOL BOARD'S ROLE

- Establish Policies
- Delegate to the Superintendent the responsibility of all administrative functions

# Board Policies

- SUPERINTENDENT'S ROLE

- To present and recommend policy options along with specific recommendations to the Board when circumstances require the Board to adopt new policies or revise existing policies
- Develop and inform the Board of administrative procedures needed to implement Board policy

# Why? Policies and Procedures

- Policies and procedures make the school and school system a more effective and efficient organization.

# Sample Policy Content

- Chapter 1: Governing Principles
- Chapter 2: School Board Operations
- Chapter 3: School Administration
- Chapter 4: Curriculum and Instruction
- Chapter 5: Students



# Sample Policy Content

- Chapter 6: Personnel/Human Resources
- Chapter 7: Fiscal Management
- Chapter 8: Auxiliary Services
- Chapter 9: School-Community Relations  
and Interlocal Agreements

# Chapter 1: Philosophy

- System's:
  - Philosophy
  - Mission
  - Vision
  - Beliefs

# Chapter 2: School Board Operations

- Scope of the System
- Board Members
- School Board Policy Adoption
- Legal Counsel – Board

# Chapter 3: School Administration

- Administrative Organization
- School Calendar
- Superintendent's Election/Appointment
- School District Attendance Areas
- Equal Opportunity

# Chapter 4: Curriculum and Instruction

- Curriculum
- Textbooks
- Instructional Programs
- Field Trips
- Testing and Assessment
- Promotion and Retention
- Graduation
- Others

# Chapter 5: Students

- Equal Educational Opportunities
- Admissions and Attendance
- Student Fees, Fines and Charges
- Student Conduct
- Title IX
- Protection of Pupil Rights Amendment
- Student Health Services
- Student Records
- Others

# Chapter 6: Personnel/Human Resources

- Employment Procedures
- Probationary Employment
- Professional Development
- Employee Leave
- Performance Assessment
- Personnel Records
- Reduction in Force
- Drug and Alcohol Testing for Safety Sensitive Employees
- Others

# Chapter 7: Fiscal Management

- Chief School Financial Officer
- Budget Development
- Accounting
- Investments
- Audits
- Purchasing
- Child Nutrition Procurement
- Inventories
- Deposit and Expenditure of Funds
- Employee Compensation



# Chapter 7: Fiscal Management

- Authority to Executive Contracts
- Expense Reimbursement
- Fundraising
- Fees, Payments and Rentals
- Cash Management of Federal Funds
- Investment of Funds
- School Accounts
- Others

# Chapter 8: General and Auxiliary Services

- Security and Safety
- Transportation
- Child Nutrition Program
- Internet Safety and Use of Technology
- Management Information System
- Records Retention and Disposal
- Risk Management
- Others

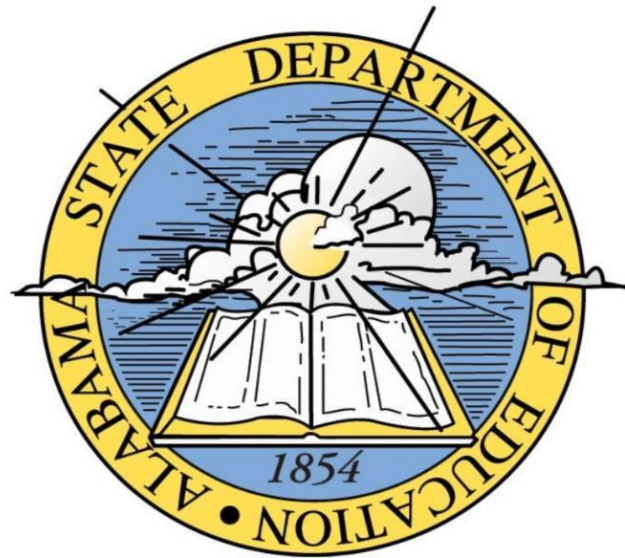
# Chapter 9: School-Community Relations and Interlocal Agreements

- Parent Organization and School Support Groups
- Family and School Partnerships
- Property Management and Advertising
- Relations with Governmental Authorities
- Public Comments
- Others

# Local School Accounting Manual

- Procedures for day-to-day duties
  - Cash Receipts
  - Purchasing
  - Invoices
  - Check payments
  - Fund Raisers
  - Returned Checks
  - Student/Parent Organizations  
    (PTO's and Booster Organizations)

**FINANCIAL PROCEDURES  
FOR  
LOCAL SCHOOLS**



**ALABAMA DEPARTMENT OF EDUCATION**

# FINANCIAL PROCEDURES FOR LOCAL SCHOOLS

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STATE OF ALABAMA ■ DEPARTMENT OF EDUCATION ■ JOSEPH B. MORTON, STATE SUPERINTENDENT OF EDUCATION

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# Personnel Handbook

- Benefits for Full-Time Employees
- Employer Responsibility
- Alabama Code of Ethics
- Personnel File
- Dress Code
- Wage and Hour Issues
- Employee Time and Attendance



# Personnel Handbook

- Payroll
- Insurance
- Employee Assistant Program
- Leave
  - Sick, Personal, Vacation, Leave of Absence, FMLA, Professional, Military
- Employee Absence Reporting
- Transfers/Retirement/Resignations

# Student/Parent Handbook

- Procedures for daily operations
  - Activities
  - Attendance Policies and Procedures
  - Discipline
  - Dress Code
  - Student Services
  - Visitors
  - Others

# FERPA



# What is FERPA?

- FERPA is the Family Educational Rights and Privacy Act.
- This is a federal law that protects the privacy of student education records.
- It gives students certain rights over their educational records.

# FERPA

- FERPA: Family Educational Rights and Privacy
- Protect the privacy of students' educational records
- All educational agencies and institutions that receive funding from the U.S. Department of Education are required to abide by FERPA
- Parents and students must be given notice of their FERPA right every year.

# FERPA

- The educational agency must create and abide by a policy that prohibits the disclosure of student records or student-identifying information without the consent of the parent or the adult student
- Parents have the right to access student records.
- Under FERPA, access simply means the ability to review and inspect the records maintained by the school.

# FERPA

- EXCEPTIONS to non-disclosure
  - School officials with legitimate educational interest;
  - Other schools to which a student is transferring
  - Appropriate parties in connection with financial aid to a student
  - Accrediting organizations
  - Organizations conducting certain studies for or on behalf of the school'

# FERPA

- EXCEPTIONS to non-disclosure
  - To comply with a judicial order or lawfully issued subpoena
  - Appropriate officials in cases of health and safety emergencies
  - State and local authorities within a juvenile justice system



# FERPA

- Legitimate Educational Interest

- School with legitimate education interest can access student records without parental consent
  - A school official is anyone employed by the Board or anyone who is a contractor or vendor who provides or assists with providing educational and school relate services.
  - A legitimate educational interest is one that serves the purpose of providing an educational or access to services to the student.

# FERPA

- Transferring to Other Schools

- Other schools to which a student is transferring

- This includes schools within the district as well as post-secondary schools

- FERPA allows for this disclosure without the consent even after the student has actually enrolled or transferred to the new school as long as the disclosure related to the new transfer or enrollment

# FERPA

- Judicial Order/Subpoena

- To comply with a judicial order of lawfully issued subpoena:

- Parent should be notified of the subpoena and given the opportunity to object
- A phone call from an attorney does not equate to a court order or a subpoena. However, a parent can sign a disclosure form authorizing an attorney to have access to the student's records.

# FERPA

- Health and Safety

- Appropriate officials in case of health and safety emergencies:

- The health and safety emergency must be valid and not contrived for the purpose of authorizing disclosure
    - The disclosure can only be made to those persons who are reasonably believed to be able to prevent, control or resolve emergency

# FERPA

- State and Local Authorities

- State and local authorities, within a juvenile justice system, pursuant to specific state law
  - Law enforcement
  - Department of Human Resources
  - Current case or investigation regarding a student
  - The release of the records should still be documented

# Exception for Emergencies

- A school may make nonconsensual disclosures of PII from education records if it is necessary to protect the health or safety of the student or other individuals.
- Note, however, that this exception applies only to emergencies that are imminent or already occurring, and **not** to the preparation for a *possible* or *eventual* emergency.
- Disclosures under this exception are restricted to appropriate persons under the circumstances, such as law-enforcement officers, public-health officials, medical personnel and parents (including parents of an eligible student).
- The school must document the details of each such disclosure, including the reasons for it and to whom it was made.
- In the event of a disaster, a school may disclose personally identifiable information to assist emergency officials in locating parents.

# FERPA

- Other Exceptions

- Specified officials for audit or evaluation purposes:
- Appropriate parties in connection with financial aid to a student
- Organization conducting studies for or on behalf of the school
- Accrediting organizations

# FERPA

## Directory Information

- Name
- Address
- Telephone number
- Photograph
- Date and place of birth
- Major
- Grade Level

## Directory Information

- Participation in sports and activities
- Weight and height of sports players,
- Dates of attendance
- Degrees, honors and awards
- Most recent school attended



# FERPA

- Directory Information

- Yearbooks are considered to be directory information. You do not have to give a copy of a yearbook to someone. They can borrow with stipulations or they can have access to the yearbook in the school.

- Directory information **does not** include:

- Grades, disciplinary records, tests and evaluations, social security numbers and parents' names

# FERPA

- Directory Information

- Directory information can be released upon request unless that student's parent has notified the school in writing of a decision to opt-out.

# FERPA

- Model Notification of Rights under FERPA for Schools

- The Family Educational Rights and Privacy Act (FERPA) affords parents and students who are 18 years of age or older ("eligible students") certain rights with respect to the student's education records. These rights are:
  1. The right to inspect and review the student's education records within 45 days after the day the [Name of school ("School")] receives a request for access.
    - Parents or eligible students who wish to inspect their child's or their education records should submit to the school principal [or appropriate school official] a written request that identifies the records they wish to inspect. The school official will make arrangements for access and notify the parent or eligible student of the time and place where the records may be inspected.
  1. The right to request the amendment of the student's education records that the parent or eligible student believes are inaccurate, misleading, or otherwise in violation of the student's privacy rights under FERPA.
    - Parents or eligible students who wish to ask the [School] to amend their child's or their education record should write the school principal [or appropriate school official], clearly identify the part of the record they want changed, and specify why it should be changed. If the school decides not to amend the record as requested by the parent or eligible student, the school will notify the parent or eligible student of the decision and of their right to a hearing regarding the request for amendment. Additional information regarding the hearing procedures will be provided to the parent or eligible student when notified of the right to a hearing.
  1. The right to provide written consent before the school discloses personally identifiable information (PII) from the student's education records, except to the extent that FERPA authorizes disclosure without consent.
    - One exception, which permits disclosure without consent, is disclosure to school officials with legitimate educational interests. The criteria for determining who constitutes a school official and what constitutes a legitimate educational interest must be set forth in the school's or school district's annual notification for FERPA rights. A school official typically includes a person employed by the school or school district as an administrator, supervisor, instructor, or support staff member (including health or medical staff and law enforcement unit personnel) or a person serving on the school board. A school official also may include a volunteer, contractor, or consultant who, while not employed by the school, performs an institutional service or function for which the school would otherwise use its own employees and who is under the direct control of the school with respect to the use and maintenance of PII from education records, such as an attorney, auditor, medical consultant, or therapist;

# Right to File a Complaint

- Parents or eligible students may file a written complaint with the Family Policy Compliance Office (FPCO) regarding an alleged violation under FERPA
- Complaints must be submitted within 180 days of the date of the alleged violation.

# SCENARIOS

# FERPA DO'S AND DON'TS

## • DO ask yourself:

- • Am I sharing student information?
- • Can someone personally identify a student from this information?
- • Do I have parental consent?
- • DO check your school's annual FERPA notice to see which educational records it has designated as directory information.
- • DO check with the administration office to see if any parents have told the school not to share their child's directory information.
- • DO shred student documents before disposal.
- • DO use educational technology pre- approved by your school.
- • DO check for parental consent before including non-directory information in a student recommendation

## • DON'T

- DON'T use educational technology programs that your school does not have a contract for. Check with your school administration if you are unsure whether a contract exists for a particular program.
- DON'T send student grades and other non-directory information via e-mail – if parents ask for their child's grades, pick up the phone instead!
- DON'T publicly post students' personal information online without parental consent.
- DON'T use social networks to connect students with classroom pages and events without parental consent

# References

- <http://www.ed.gov/policy/gen/guid/fpco/index.html>
- <http://www2.ed.gov/policy/gen/guid/fpco/ferapa/lea-officials.html>
- <https://studentprivacy.ed.gov/resources/ferpa-general-guidance-students>
- <https://studentprivacy.ed.gov/faq/what-records-are-exempted-ferpa>
- <https://studentprivacy.ed.gov/resources/ferpaidea-cross-walk>

# Questions?

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