INTERNAL CONTROLS OVER THE PAYMENT PROCESS ANNUAL CERTIFICATION FORM

Email this completed and signed form to BSEInternalControlCert@osc.ny.gov.

Hudson River-Black River Regulating District **Agency Name** John C. Callaghan Agency Head Please indicate the system in which the agency certifies payments: 冈 SFS Other Financial Management System As part of this certification, the agency assessed the adequacy of controls over one or more of the following paymentrelated areas. Please check all that were assessed: Accounts Payable Grants Receiving Contracts Requiring Electronic Payments P-Card Purchases SFS/FMS Security Access Credit Card Reconciliations Other (please specify): **Program Area Payments** Fuel Card reconciliation process for Statewide credit card transactions **Employee Expenses** Purchase Order Use **Evidence and Record Retention Purchasing** In accordance with Title 2, Chapter I, Part 6, Section 6.6 of the New York Codes, Rules and Regulations, I hereby certify that the agency's internal controls over the payment process to support the validity of the agency claim certification for processing payments is: Satisfactory (i.e., the agency established controls and determined controls are working as intended). X Satisfactory with weaknesses (i.e., the agency established controls; however, the agency identified some weaknesses. Unsatisfactory (i.e., the agency has not established controls or has identified significant control weaknesses...

The agency should use the chart below to identify how it will address control weaknesses.

The only statewide credit cards the Regulating District uses are Fuel Cards. The Regulating District has a Fuel Card for each vehicle it owns. The Regulating District has a log for each vehicle it owns. When an authorized employee uses a Regulating District vehicle, the employee makes an entry in the log that documents that particular use. Authorized users that most frequently use Regulating District vehicles have been authorized to establish an individualized Fuel Card username and personal identification number that they use when making purchases of fuel for a vehicle owned by the Regulating District.

Control Area/Objective	Control Weaknesses Identified	Corrective Action Plan or Compensating Controls for Weaknesses					
Reviewed transactions to ensure charges appear reasonable prior to paying the credit card supplier's monthly invoice.	The Regulating District consistently reviews Fuel Card transactions to ensure the charges appear reasonable prior to paying the credit card supplier's monthly invoice.	As part of this certification process, the Regulating District examined the data included on the Fuel Card provider's online portal. During this examination, it discovered two instances where vehicles that were no longer owned by the Regulating District still had active Fuel Cards. These cards have been cancelled. It also updated information in the portal to make it completely accurate.					
	Occasionally, this review resulted in payment of the Fuel Card supplier's monthly invoice later than the time period established by the Fuel Card supplier. On a couple occasions during the period covered by this certification, this has resulted in risk of suspension of service by the Fuel Card supplier.	Having recognized the potential disruption to Regulating District operations that would occur if the Fuel Card supplier suspended service, the Regulating District's Finance staff have placed a high priority for completing transaction review and payment to ensure that the risk of suspension of service by the Fuel Card supplier does not occur.					
Completed the credit card reconciliation process on all transactions within 30 days of paying the credit card supplier's monthly invoice. This includes having the cardholder verify transaction appropriateness, select the applicable account code for each transaction, and submit transactions for review and approval through the agency's finance office.	The Regulating District completed the credit card reconciliation process on all transactions within 30 days of paying the credit card supplier's monthly invoice. This includes having the cardholder verify transaction appropriateness, select the applicable account code for each transaction, and submit transactions for review and approval through the agency's finance office.						
 Identified the cause for transactions not reconciled within 30 days and determined/documented the corrective action. 	The Regulating District completed the credit card reconciliation process on all transactions within 30 days of paying the credit card supplier's monthly invoice.						

Maintained appropriate supporting documentation for each credit card transaction, including approvals, purchase agreements, invoices, log entries and receiving documents (if applicable).	The Regulating District maintained appropriate supporting documentation for each credit card transaction, including approvals, invoices, and log entries.	
 Received all items ordered in the proper condition and in accordance with the terms and conditions of the purchase agreement. 	This task is not applicable to purchases made and paid for with Fuel Cards.	
Initiated and completed the disputes process appropriately, within 60 days of receiving the credit card supplier's monthly invoice. This includes contacting the merchant to obtain a credit for inappropriate transactions caused by the merchant and notifying the credit card supplier if the merchant is unable to resolve the problem.	The Regulating District did not experience any disputes with its Fuel Card suppliers during this certification period other than those mentioned above with respect to the timeliness of payment.	
Collected reimbursement from the cardholder for any inappropriate transactions made by the cardholder.	Because the Regulating District did not experience any disputes, it did not need to seek reimbursement for any inappropriate transactions during this certification period.	•
 Reviewed credit card supplier's monthly invoice to determine if disputed charges were corrected appropriately (e.g., account statement's credit amounts are accurate). 	The Regulating District consistently reviewed the Fuel Card supplier's monthly invoice to determine the appropriateness of charges.	

oxtimes By checking this box, I certify the agency asses	ssed the adequacy of controls over the Voucher Authorizer
Designation process. In addition, the agency verified the in	ndividuals having the ability to approve vouchers and expense
reports for submission to the Comptroller's Office on m	y behalf (i.e., Voucher Authorizers) have been appropriately
authorized in a manner consistent with the appropriate sta	atement(s) on Attachment A of this form.
	6/15/2023
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Signature of Agency Head	Date

VOUCHER AUTHORIZER DESIGNATION FORM

Please complete the applicable statement(s) below to indicate your voucher authorizer designation. Where an agency authorized another agency (e.g., OGS' Business Services Center) to approve its vouchers, complete the additional statement to indicate your agency's delegation of authority to the host agency.

Online and Bulkload Agencies
n accordance with Section 110 of the State Finance Law, vouchers are certified or approved by myself or my designee(s)
or submission to the Comptroller for audit. I may authorize one or more officers or employees to make such designations.
hereby authorize the (Designee Title) to designate other agency personnel who may certify
r approve vouchers on my behalf (i.e., Voucher Authorizers). I authorize Agency Security Administrators (or equivalent)
o assign the appropriate role in the Statewide Financial System or our financial management system to those designated
s Voucher Authorizers.
osted Agencies
(or through my designee) have delegated authority to the(Host Agency Name) to designate its
gency personnel to certify or approve vouchers on my behalf (i.e., Voucher Authorizers). I understand this delegation
uthorizes the host agency's Agency Security Administrator to assign the appropriate role in the Statewide Financial
ystem to those who the host agency has designated as Voucher Authorizers.

Rev. December 2022

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	Extfax1	.23	500	
	Faxt			512-661-5720
	ExtPH1 Phone2 ExtPH2			
	Phone1 518-465-3491	518-465-3491	518-465-3491 518-465-3491 518-465-3491	518-661-5535
	Company_Name Hudson River - Black River Regulating District	Hudson River - Black Rivor Regulating District	Hudson River - Black River Regularing Dierica Hudson River - Black River Regularing berrica Hudson River - Black River Regularing Derrica	Hudson River - Black River Regulating District
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