
 <p>Corrections and Community Supervision</p> <p>DIRECTIVE</p>	TITLE Functions of the Division of Budget and Finance		NO. 2700
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SUPERSEDES DIR. #2700 Dtd. 03/20/19	DISTRIBUTION A	PAGES PAGE 1 OF 4	DATE LAST REVISED
REFERENCES (Include but are not limited to) ACA Expected Practices 4-4030, 2-CO-1B-01, 2-CO-1B-02, 2-CO-1B-03, 2-CO-1C-06, 4-APPFS-3D-21, 4-APPFS-3D-22, 4-APPFS-3D-24, 4-JCF-6B-04, 2-CI-6E-2, 1-ABC-1B-05	APPROVING AUTHORITY 		

- I. OVERVIEW:** The Division of Budget and Finance has the following functional responsibilities:
- A. Preparation of all operating budget requests for submission to the New York State Division of the Budget (DOB), including the general fund and local assistance fund.
 - B. Provides fiscal direction and oversight to all correctional facilities, Community Supervision field offices, and the Board of Parole.
 - C. Development of the Department's financial plans and the monitoring of the plan against available funding.
 - D. Provides fiscal guidance and recommendations to the Executive Staff, Division Heads, and Regional Directors.
 - E. Provides administrative supervision over the Unit's various bureaus.
 - F. Responsible for all fiscal functions of Central Office including, but not limited to, payroll and vouchering.
 - G. Participates in audit management activities and assists in formulating audit responses.
 - H. Responsible for the transmittal of all transactions requiring DOB approval, including, but not limited to, position classifications, budget certificates, contract proposals, payroll functions, Agency Spending Control Attachments (ASCA), and obtaining specific data requested on any and all of the Department's operations.
 - I. Responsible for processing facility managed care medical vouchers.
 - J. Coordinates and disseminates information pertaining to the Statewide Financial Management System (SFS) upgrades, changes, and training.
- II. ORGANIZATION:** The Division of Budget and Finance is headed by the Director of Financial Administration. See Attachment A for the organizational structure of the Division.
- A. Bureau of Finance and Payroll
 1. **Payroll Unit:** The Payroll Unit is responsible for the preparation of the Central Office payroll, Community Supervision payroll, the Board of Parole payroll, the Albany Training Academy payroll, the New York City Central Administration (NYCCA) payroll, and for oversight of the facility payrolls. This Unit acts as a liaison with the Office of the State Comptroller (OSC) and, on occasion, the Department of Civil Service, providing all information and approvals necessary to process the payroll, ensuring that all employees receive their paychecks on time.

The Payroll Unit is also responsible for the training of facility personnel in payroll operations.

2. Finance Unit: The Finance Unit is responsible for preparation and processing of Central Office Business Service Center (BSC) out-of-scope non-Procurement Card payments and all of Central Office travel and expense reports.
 - a. Responsible for maintenance of Central Office purchase order files as well as processing of all Central Office BSC out-of-scope non-Procurement Card payments, including merchandise purchased for facilities by Central Office. The Finance Unit monitors eSettlement for Central Office in scope BSC invoices requiring agency review and approval, and follows up on monthly status reports received from the BSC to ensure efficient operations. This Unit also oversees negotiated work clothing allowances, payment of awards, lost checks, and journal vouchers.
 - b. Responsible for processing all Central Office travel and expense reports, including employees, vendors, trainees, borrowed staff, conferences, and employee claims and moving expenses. This activity requires the input of expense reports into SFS as well as the maintenance and monitoring of the Department's travel advance account. This Unit also resolves problems raised by facilities regarding travel and monitors and follows up on monthly Travel Card Aging Reports and outstanding Due State Reports received from the BSC.
 - c. Coordinates funding availability with budget staff to ensure timely payments against approved agency contracts. This Unit bears primary responsibility for local assistance payments to those counties housing state ready prisoners, Community Based Residential Programs, petty cash payments, various claims, and facility bank balance reporting.

B. Bureau of Budgeting, Fiscal Review and Analysis

1. Department's Budget Request: Among the Budget Bureau's primary responsibilities is the development of the Department's executive budget request, which highlights the Department's programmatic objectives for the upcoming fiscal year and the estimated funding necessary to carry out those objectives. The Bureau coordinates the translation of funds, provided to the Department as a result of this budget process, into a Department-wide spending plan that divides these funds among facilities and regions in an equitable manner. This requires providing adequate justification and workload data to enable DOB examiners and Legislative fiscal staff to make solid judgments relative to DOCCS' requests and participating in the budget making process within the Department by reviewing and analyzing program requests, conducting informal conferences with Program Administrators, and participating with the Commissioner and his or her Executive staff.
2. Monitoring/Accounting: Assists Program Directors throughout the fiscal year in implementing their program fiscal requirements. To fulfill this function, the Budget Bureau provides sufficient accounting codes to enable the ongoing monitoring of Department expenditures and processes budget journals to realign available funds to coincide with identified, justifiable needs.

- To facilitate this process, the Budget Bureau works in conjunction with Central Office Program Managers and facility experts to develop standardized criteria for the construction of operation-specific budgets, with the objective of providing each facility with realistic goals to attain in individual operations, such as food service, while installing a mechanism for ensuring that each facility receives a fair share of available funding. The Budget Bureau establishes new funds and bank accounts, where necessary, to accommodate the opening of new facilities and to utilize outside revenue sources as they become available, and performs similar operations for closing facilities.
3. **Position Classification Actions:** The Budget Bureau deals with DOB on all position classifications prepared by Personnel and approved by Civil Service. This includes providing detailed justification to DOB, which includes a summary of why the transaction is needed and identification of funding source. In conjunction with this activity, the Budget Bureau obtains DOB approval to fill positions when required, obtains earmark releases, and assists in processing requests for the Budget Director's approval of Non-Statutory (NS) appointments.
 4. **Liaison with DOB:** Keeps the Director abreast of all Program activities and acts as a liaison between the Agency and the DOB examiners.
- C. **Medical Bill Paying:** Responsible for the review of all coordinated care and outside hospital contracts and related documents and processing payments for selected hubs. This Unit is responsible for processing of contracts and related transactions for other specialized/centralized medical costs as is required.
- D. **Inmate Accounts:** Responsible for assisting facilities with Inmate Commissary Account System (ICAS) issues, Inmate Banking Services Project issues, income tax returns, inmate child support petitions, and reviews inmate personal property claim appeals over \$500. Serves as the agency's liaison with the contracted vendor for the Inmate Banking Services Project.
- E. **Statewide Financial System:** The DOCCS SFS Team serves as a helpdesk for DOCCS facility staff on various SFS topics including processing questions, security, error messages, and submission of incident tickets to the SFS help desk. This unit is responsible for representing DOCCS at all SFS stakeholder and BSC meetings. They coordinate with facilities and the DOCCS Minority Women Owned Business Enterprise (MWBE) Unit to ensure timely and accurate MWBE usage reporting is prepared and submitted through the B2GNow system. This unit bears primary responsibility for disseminating SFS training materials and updating the Business Office Procedures and Information section on the DOCCS Training Site. This unit serves as a liaison to OSC to notify and assist facilities with errors or missing documentation on Accounts Receivable Deposits and processes updates to the OSC Contact System for facility executive team and voucher approvers. The DOCCS SFS Team members are the primary Agency Security Administrators (ASA) for all Central Office, Support Operations, and Internal Controls staff. They also serve as backup ASAs for facilities, as needed.

