

 Corrections and Community Supervision DIRECTIVE	TITLE Functions of the Division of Budget and Finance		NO. 2700
			DATE 2/11/2016
SUPERSEDES DIR #2700 Dtd. 01/28/2014	DISTRIBUTION A	PAGES PAGE 1 OF 4	DATE LAST REVISED
REFERENCES (Include but are not limited to)	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, ASCA attachments, 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 the implementation of the new Statewide Financial Management System (SFS).
- 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, and for oversight of all 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 vouchers, travel vouchers, and contract payments.
 - a. Responsible for maintenance of Central Office purchase order files as well as processing of all Central Office vouchers, including merchandise purchased for facilities by Central Office. The Finance Unit monitors funding availability to ensure efficient operations and prepares monthly status reports. This Unit also oversees negotiated work clothing allowances, payment of awards, lost checks, and journal vouchers.
 - b. Responsible for processing all Central Office travel vouchers, including employees, vendors, trainees, borrowed staff, and conferences. This activity requires the input of vouchers 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.
 - c. Coordinates with budget staff to make payments against approved contracts. This Unit bears primary responsibility for local assistance payments to those counties housing state ready prisoners, processing of moving expense vouchers, 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 which 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 establishes sufficient accounting codes to enable the ongoing monitoring of Department expenditures and processes certificates of approval to realign available facility 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 criterion 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 also 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 that have been prepared by Personnel and approved by Civil Service. This includes the provision of detailed justification to DOB, which includes a summary of why the transaction is needed and the 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 NS appointments.
 4. **Liaison with DOB:** Keeps the Director abreast of all Program activities and acts as liaison between the Agency and the DOB examiners.
This includes, but is not limited to, obtaining authorization for equipment purchases and contracts.
- 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 also 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 ICAS system issues, income tax returns, inmate child support petitions, and reviews inmate personal property claim appeals over \$500.

DIVISION OF BUDGET AND FINANCE									
Director of Financial Administration 4									
BUREAU OF FINANCE					BUREAU OF BUDGET				
Assistant Director of Financial Administration 2					Assistant Director of Financial Administration 3				
Supervising Budget Analyst									
Payroll	Finance	Medical Bill Paying	Inmate Accounts	Health Services	Support Services	Security Services	Program Services and Special Funds	Community Supervision and Parole	Administration
Payroll Examiner 4	Steward	Steward	Steward	Chief Budget Analyst	Asst. Dir. Fin. Admin.	Chief Budget Analyst	Chief Budget Analyst	Chief Budget Analyst	Supv. Budget Analyst
-Payroll	-Vouchering -Contract Payments	-Facility managed health care payments	-Inmate funds	-Budget requests -Spending plan contracts -Funds allocations			- Grant fund management - Position allocation - Budgeted fill level		- SFS - Commissary/ Banking