Office of Policy and Management

Office of Finance

Survey of Agency Fiscal/Administrative Functions

Agency Instructions

June 2010

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A. Agency Analysis Overview

1. Survey Overview

The Office of Finance is conducting a review of the organizational structures, functions, and staffing of the fiscal/administrative functions (i.e. fiscal, human resources, information technology, other) of selected State agencies. The agencies selected for this review are generally small to mid-size agencies with fewer than 300 employees. The purpose of the review, in part, to satisfy our statutory responsibilities under Section 4-70(b)(3) of the Connecticut General Statutes to advise the executive heads of State agencies concerning agency financial staffing needs.

The information requested will be compiled into a “profile” of each agency’s fiscal/administrative offices. This profile will help us to analyze current operations and identify possible efficiencies.

2. Information Request for Agencies

With respect to its fiscal/administrative functions as defined in the Definitions of Fiscal/Administrative Functions section of this document. Each agency shall provide:

1. A brief description of the agency’s overall operations and structure;
2. A brief description of the agency’s fiscal/administrative functions;
3. An agency-wide organizational chart which includes and highlights where fiscal/administrative functions are located organizationally and physically (include APO and SMART references, as appropriate). In addition to your central office, the chart should identify any regional offices or facilities;
4. A full organizational chart for each department/unit in the agency that is responsible for handling one or more fiscal/administrative functions. In addition, each agency shall identify if any of these units or personnel in these units are located in a regional office or facility; and
5. A completed Survey of Agency Fiscal/Administrative Functions.

3. Contact Information

For additional information or questions regarding this survey, please contact:

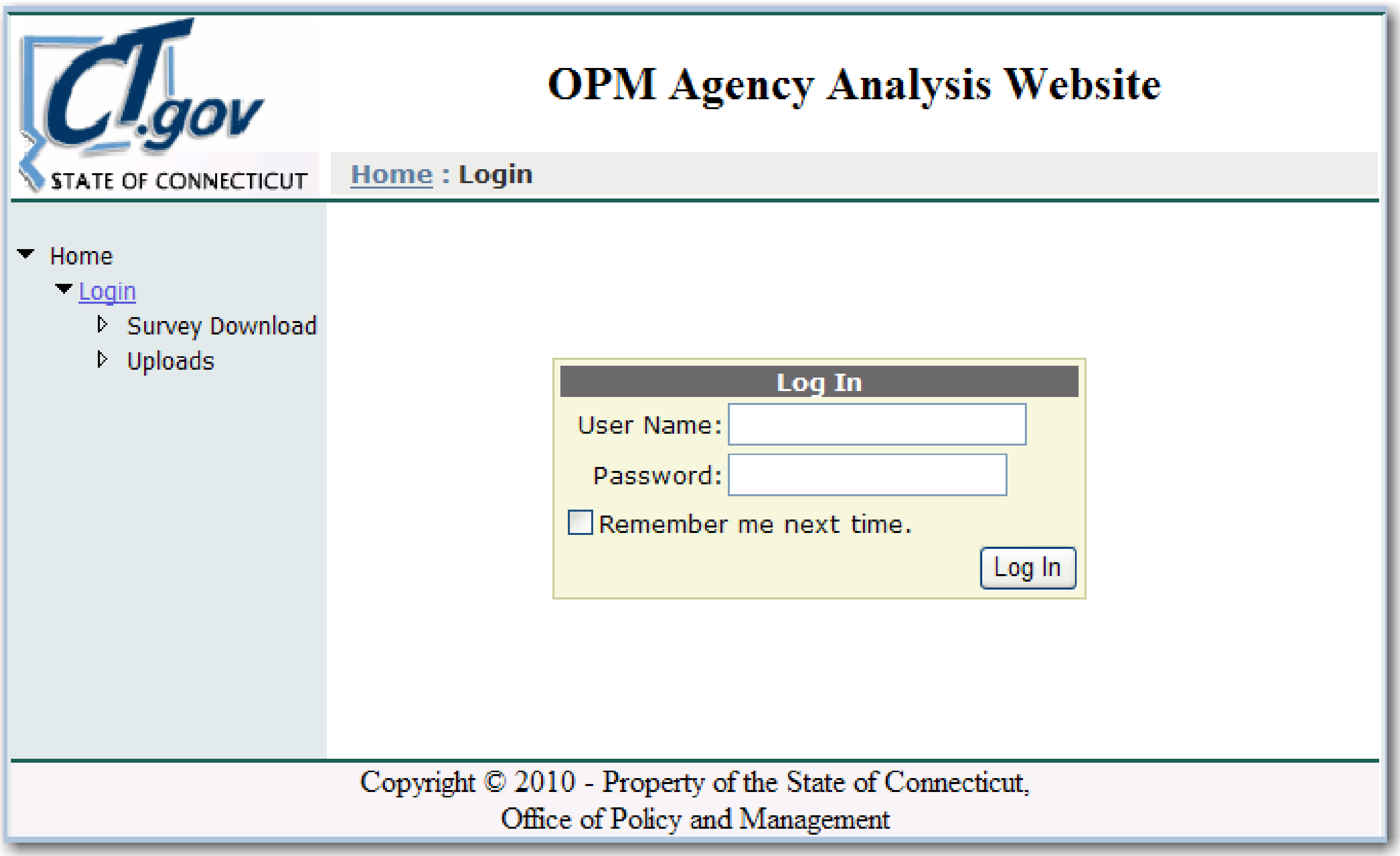
Michael Riggott	michael.riggott@ct.gov	860-418-6264
Kelly Clark	kelly.clark@ct.gov	860-418-6258

B. Access the Survey

1. Login to Website

To access the survey – open an Internet Browser window and type in https://www.appsvcs.opm.ct.gov/finsurvey/

This will bring the user to the Login page.



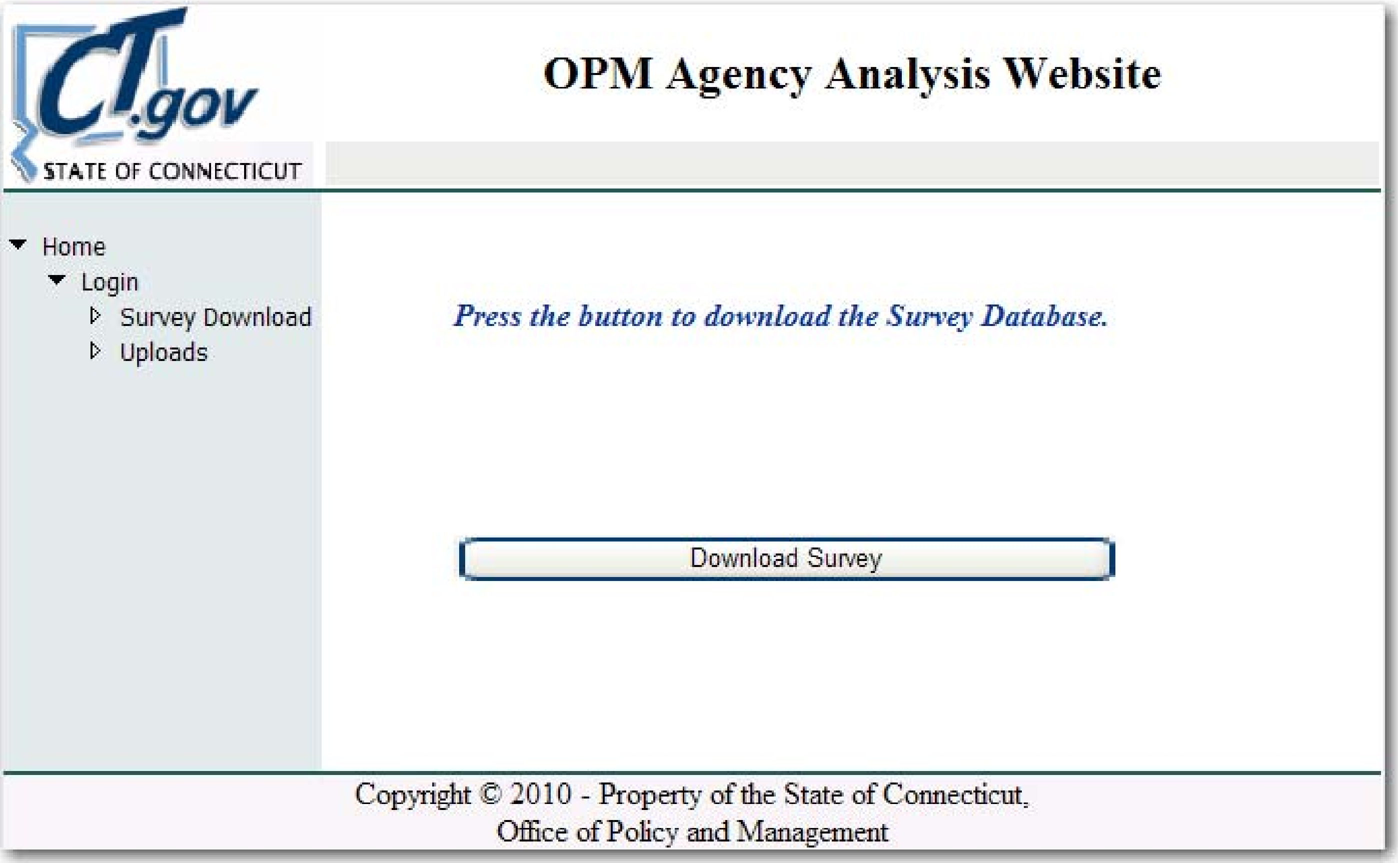
User Name: Type in agency user name. This is the user name assigned to each agency (e.g., opm)

Password: Type in agency password. This is the password assigned to each agency. (e.g., opm20000)

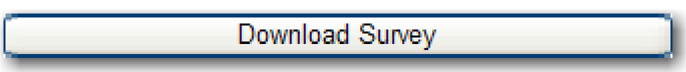
Click 

This will bring the user to the Survey Download and Upload page.

2. Download Survey

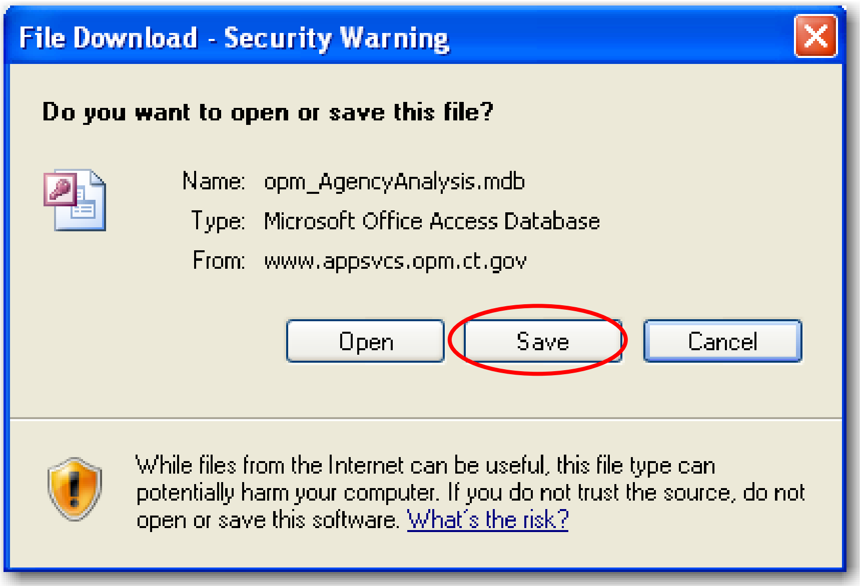


To download the survey:

Click: 

File Download box will appear.

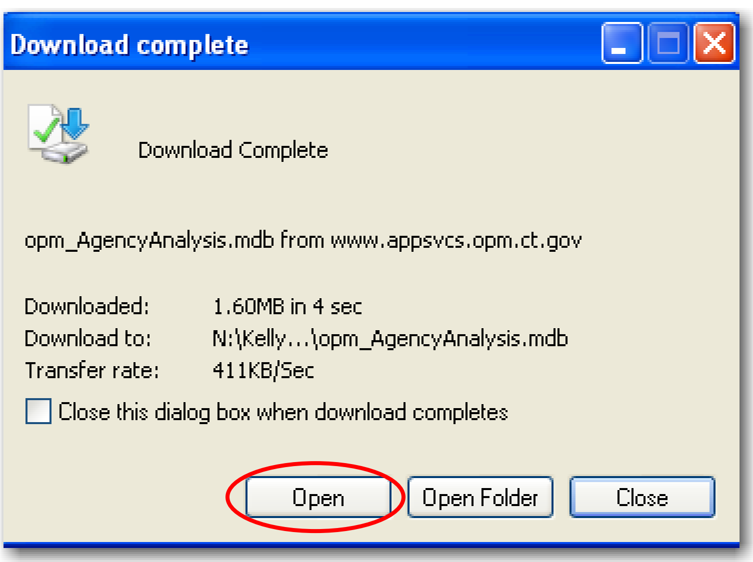
Click: Save



Save the file using the file naming convention – agency acronym_AgencyAnalysis

(example: opm_AgencyAnalysis).

Download Complete box will appear.



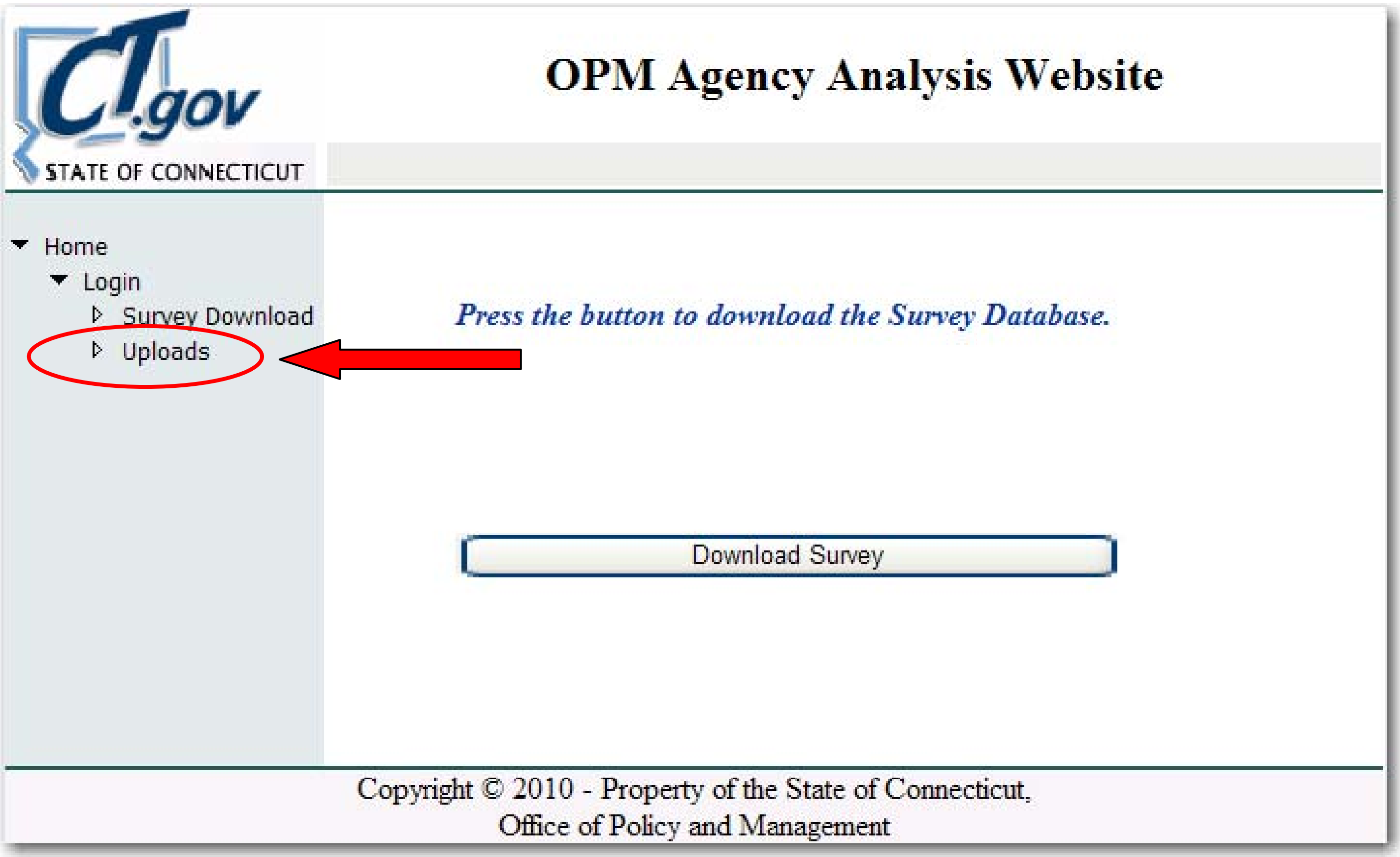
To complete the survey, go to the **C. <u>Complete the Survey</u>** section of this document

3. Upload Survey/Organizational Charts

To upload the completed survey and organizational charts:

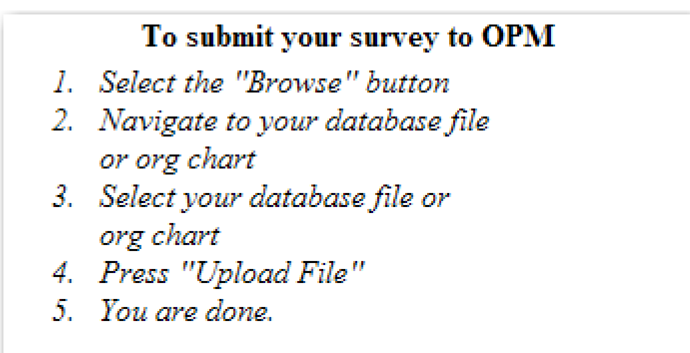
Return to the Survey Download and Upload page.

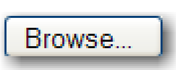
Click: Uploads



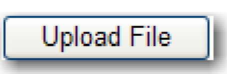
This will bring you to the File Upload page.

Follow the instructions 1 through 5.



Click: 

Select the xxx_AgencyAnalylsis file or the organizational chart(s) to upload.

Click: 

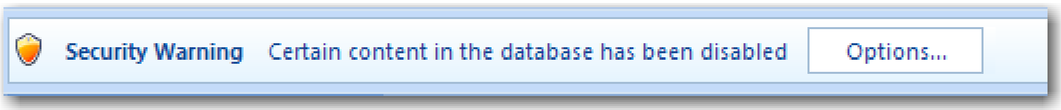
Note: Follow these steps for loading additional files and Organizational Charts.

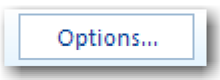
C. Complete the Survey

1. Alert for Users of Microsoft 7

If you are using Microsoft 7 you will receive this message below: Other versions of Microsoft will allow you to access the forms page without a security warning.

To enable access to the database:



Click: 

Microsoft Office Security Options page will appear.

Click: Enable this content radio button; click: OK

2. Forms Overview and Flow

Please read before you begin:

The survey is designed to be completed in a summary to detail order: agency summary > department detail > position detail for each department. Below is a diagram of the flow of the survey.

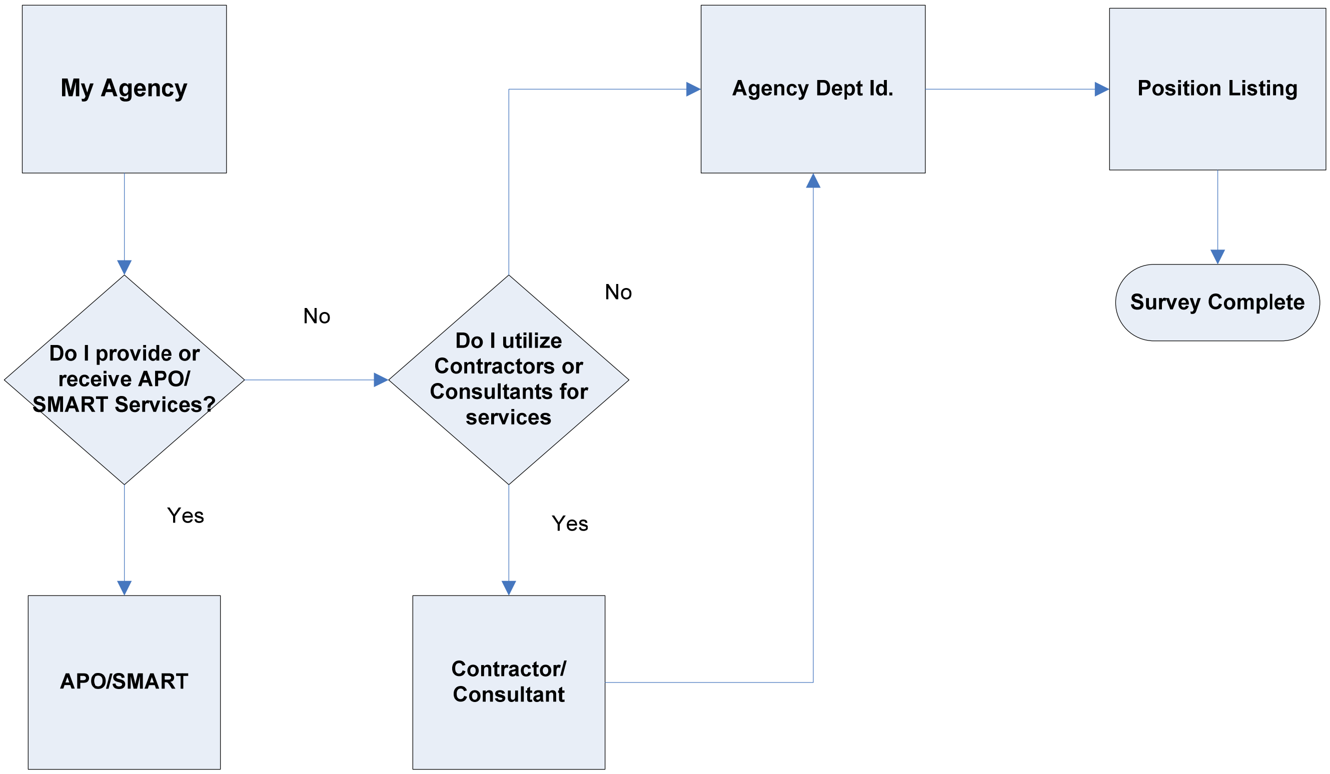
My Agency – is the summary of your agency's budget and total authorized position count.

APO/SMART – If you provide or receive APO services or SMART Services, then you will need to complete this form. If not you can proceed to the Contractors/Consultants form.

Contractors/Consultants – if your agency utilizes contractual/consultant services for the functions included in this survey, then you will need to complete this form. If not you can proceed to the Agency Dept Id form.

Agency Dept Id – list all departments/units performing fiscal/administrative functions and the employees that are assigned to that DeptId (e.g., agency code: OPM20000 – Office of Policy & Management, Dept Id: OPM20900 – Office of Finance). Proceed to the PositionListing form for each DeptID identified and complete the required information. Toggle back and forth between the Agency DeptID form and the PositionListing form until all DeptIDs that perform fiscal/administrative functions are identified.

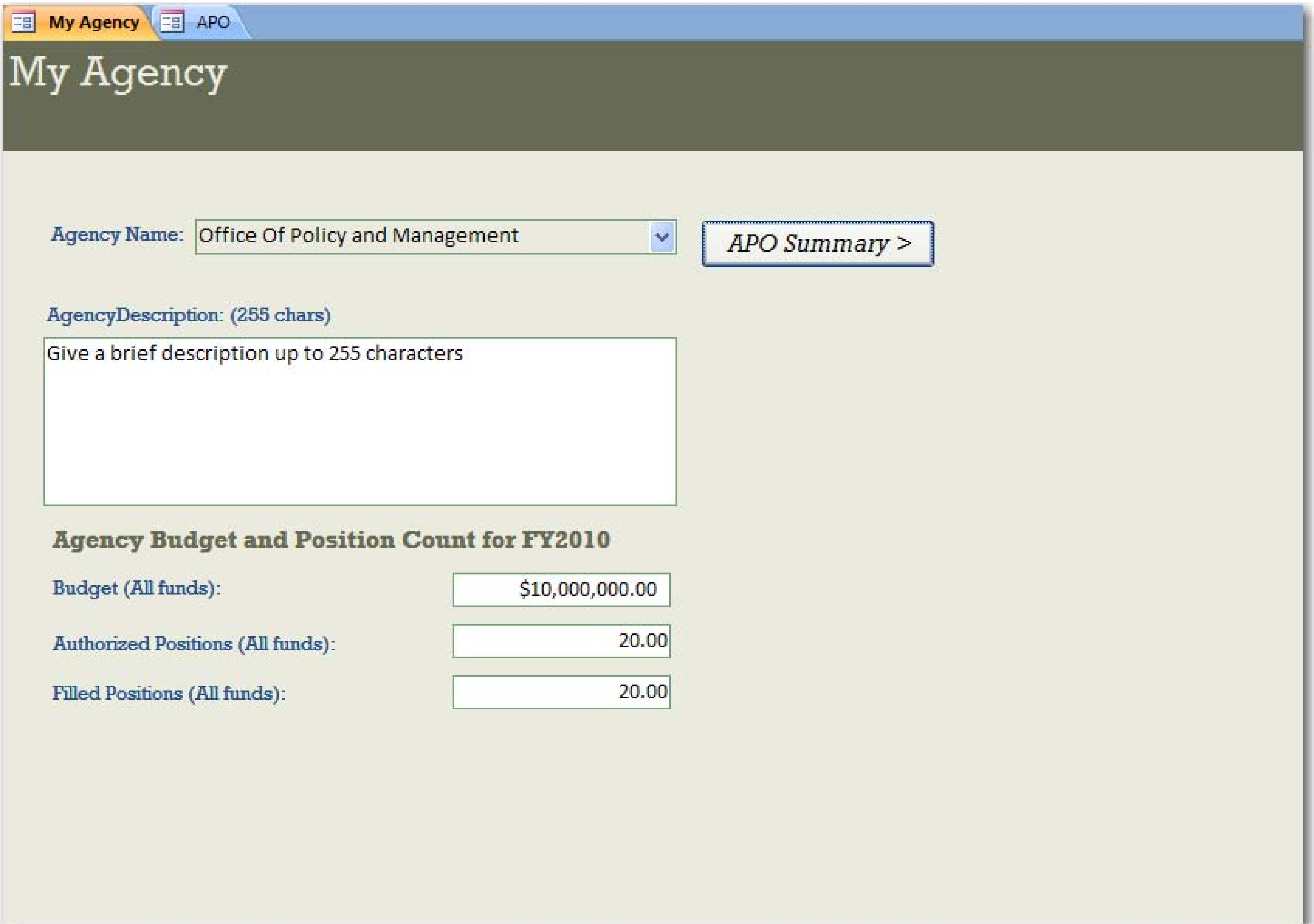
Position Listing - list all employees for the selected DeptID that perform fiscal/administrative functions. For each employee, enter required information.


My Agency
Do I provide or receive APO/ SMART Services?
No
Yes
APO/SMART
Do I utilize Contractors or Consultants for services
No
Yes
Contractor/ Consultant
Agency Dept Id.
Position Listing
Survey Complete

3. Forms

a. My Agency

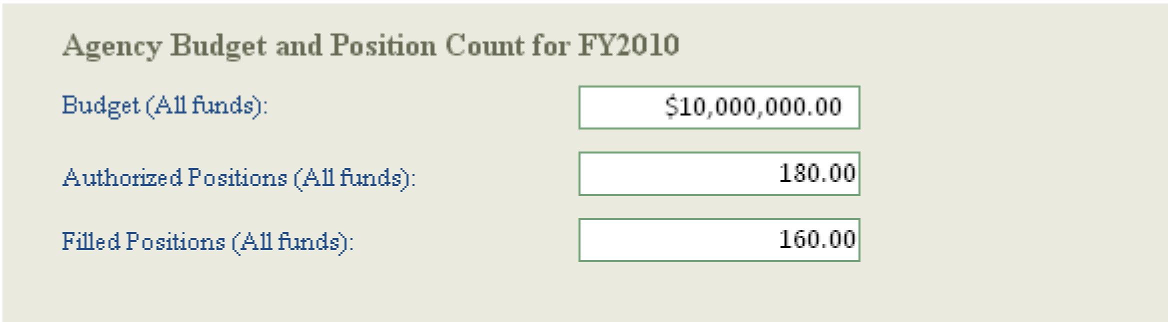
The My Agency form appears when the user downloads the survey.



AgencyName – click on the dropdown arrow to select your agency.

AgencyDescription – click inside the agency description box. Enter a brief description of the agency's overall operations and structure and a brief description of the agency's fiscal/administrative functions.

Agency Budget and Position Count FY2010



Budget (All funds): enter the total budget all funds for FY 2010

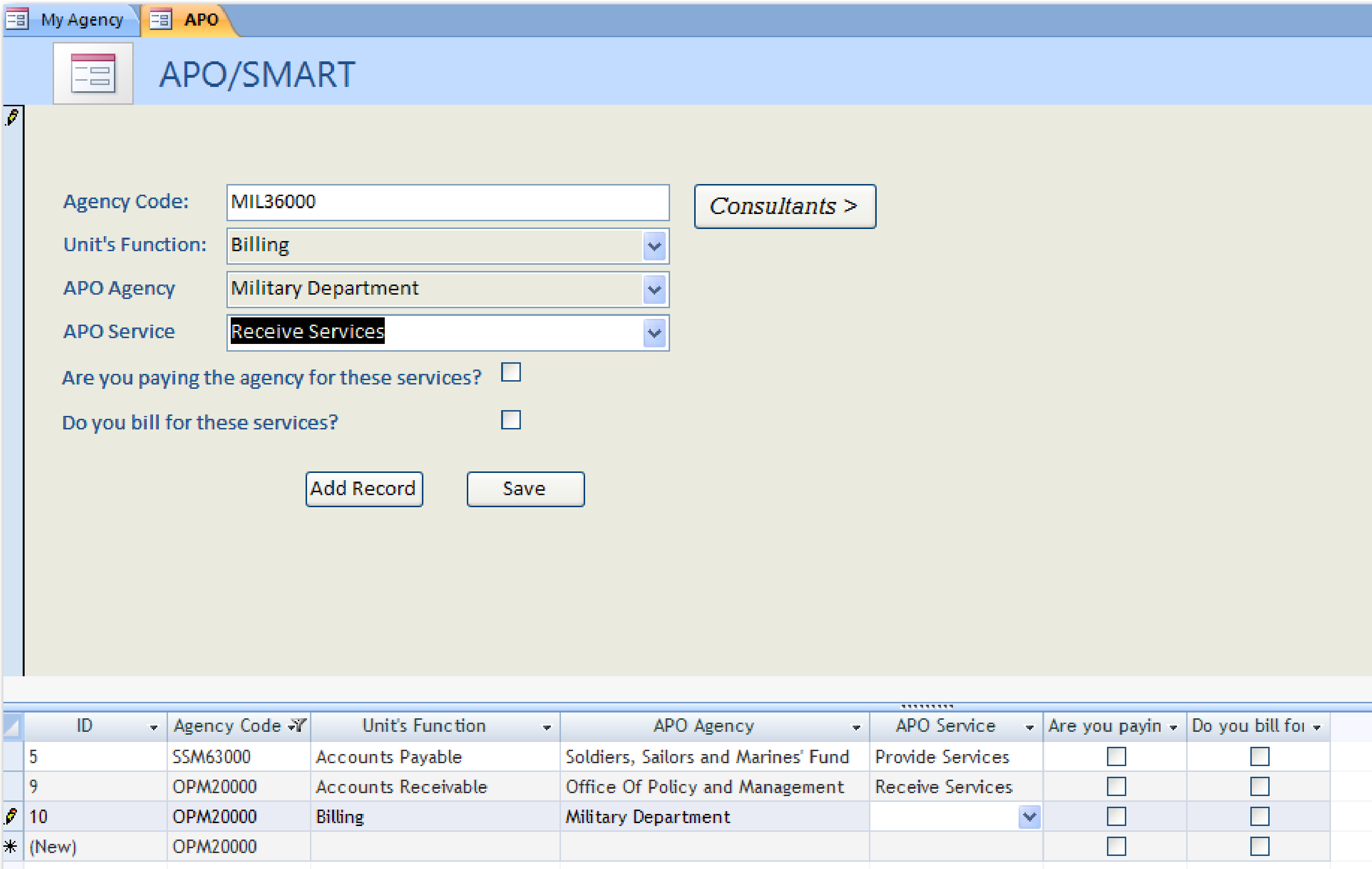
Authorized Positions (All funds): enter the total positions all funds for FY 2010

Filled Positions (All funds): enter the total filled positions all funds for FY 2010

Click 

b. APO/SMART

If agency provides or receives APO services or SMART services – it will need to complete this form. If not proceed to the Contractor/Consultants form.



Agency Code: Is the agency that is either receiving or providing the APO or SMART function.

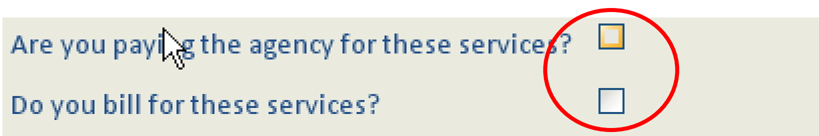
The agency code will populate when you select the APO agency.

Unit's Function: Select the function you are providing to or receiving from the agency.

Agency: Select the agency you are providing to or receiving services from.

Service: Select Provide Services or Receive Services.

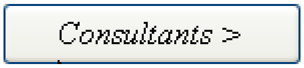
If you are paying or billing for these services, please select the approppriate check box.



Click 

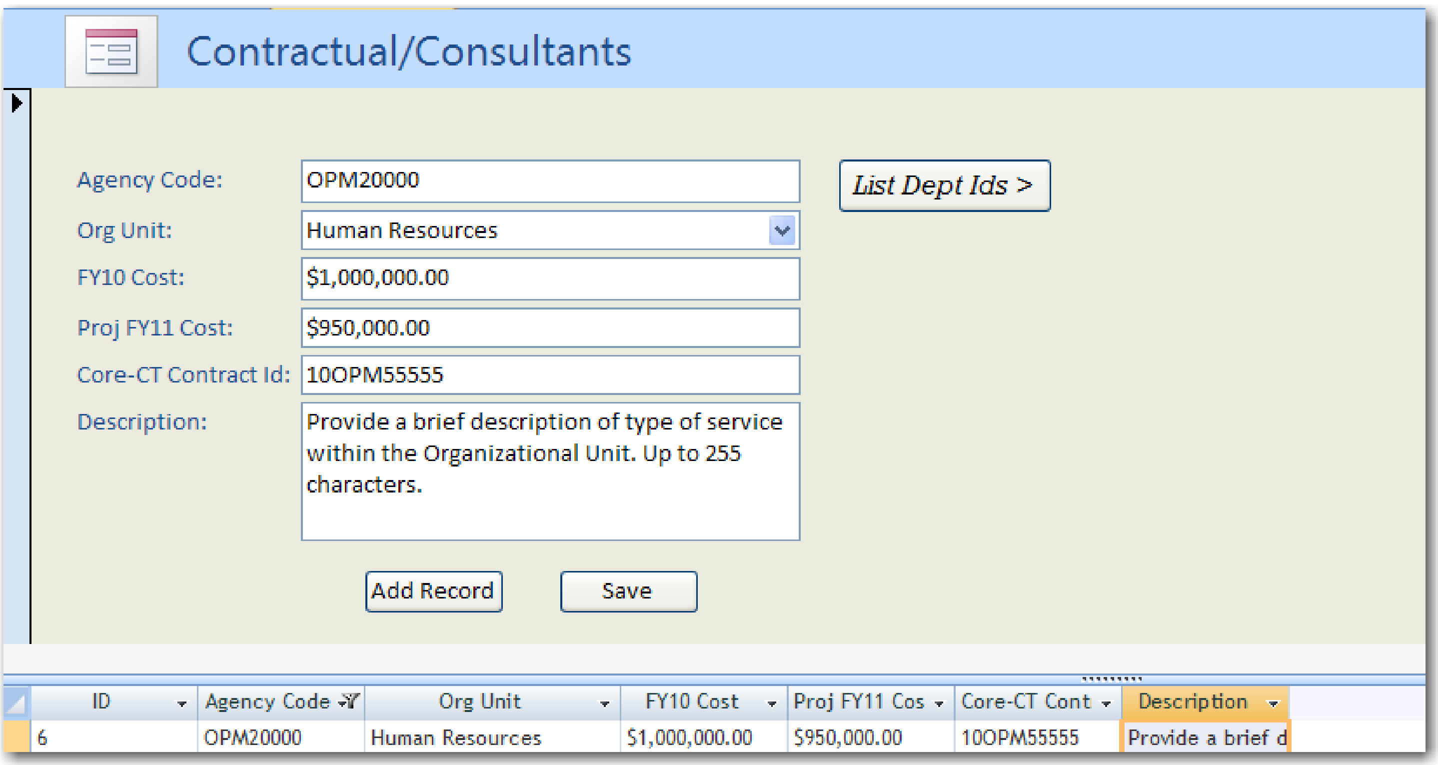
to complete for all services provided and/or received.

Click 

Click 

c. Contractual/Consultants

If agency utilizes contractual/consultant services for the functions listed in this survey, then complete this form. If not proceed to the Agency Dept Id.



Agency Code:	Enter agency code.
Org Unit:	Enter the organizational unit that the contractor/consultant is performing the function for.
FY10 Cost:	Enter total cost of contract for contractor/consultant for FY 2010.
Proj FY11 Cost:	Enter total projected cost of contract for contractor or consultant for FY 2011.

Core-CT Contract ID: Enter the assigned Core-CT contract Id.

Description: Provide a description of service/function performed by the contractor/ consultant.

Click 

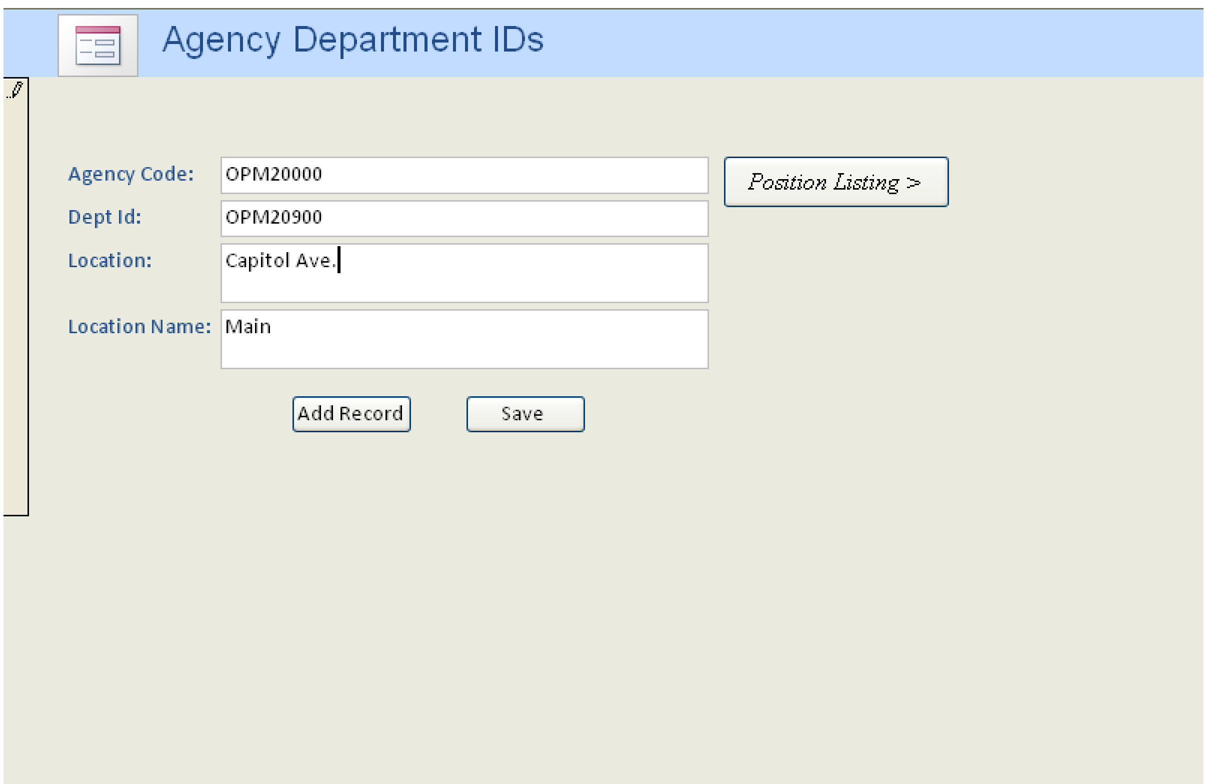
to complete for each contractor/consultant.

Click 

Click 

d. Agency/DeptID

This will bring you to the **Agency Dept ID** form:



AgencyCode: Enter agency level DeptId.

DeptId: Enter the DeptId where the employee is assigned. This would be the DeptId that represents the Unit Performing, Function, Job Title, and employee within the department.

Location: Enter the location for each DeptId.

LocationName: Enter the name of the location for each DeptId.

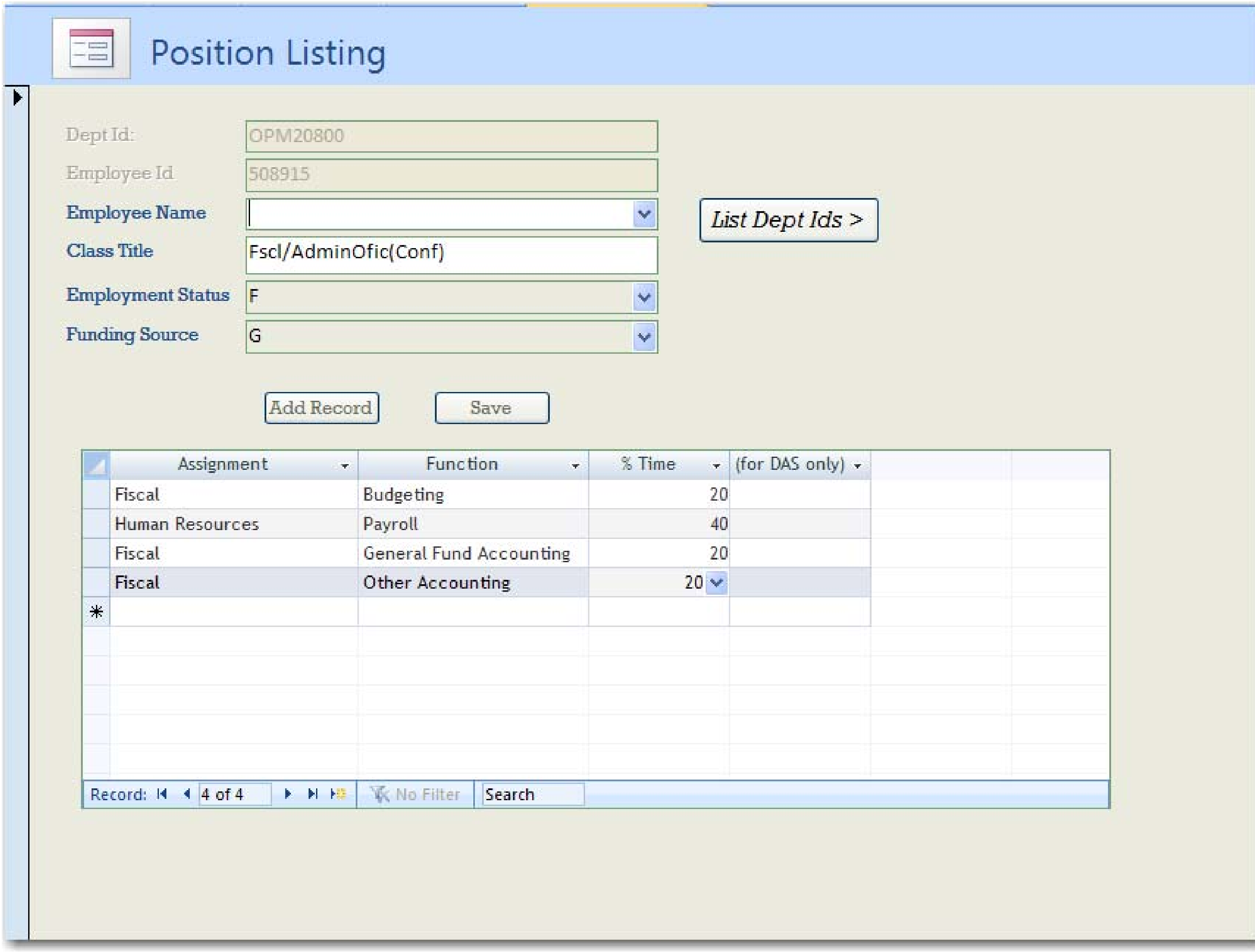
Click: Add Record for each Dept Id where the employees **(including vacant positions)** are assigned and performing the functions. For example: (agency code: OPM20000 – Office of Policy & Management, Dept Id: OPM20900 – Office of Finance). Proceed to the Position Listing form and <u>**complete for each employee**</u> the Employee Name, Class Title, Employment status, Funding Source, Function, and Percentage of Time. Do this for each Department Id that has Fiscal, Human Resources and Information Technology functions in your agency.

Click Save

Click *Position Listing >*

e. PositionListing

This brings you to the **Position Listing** form:

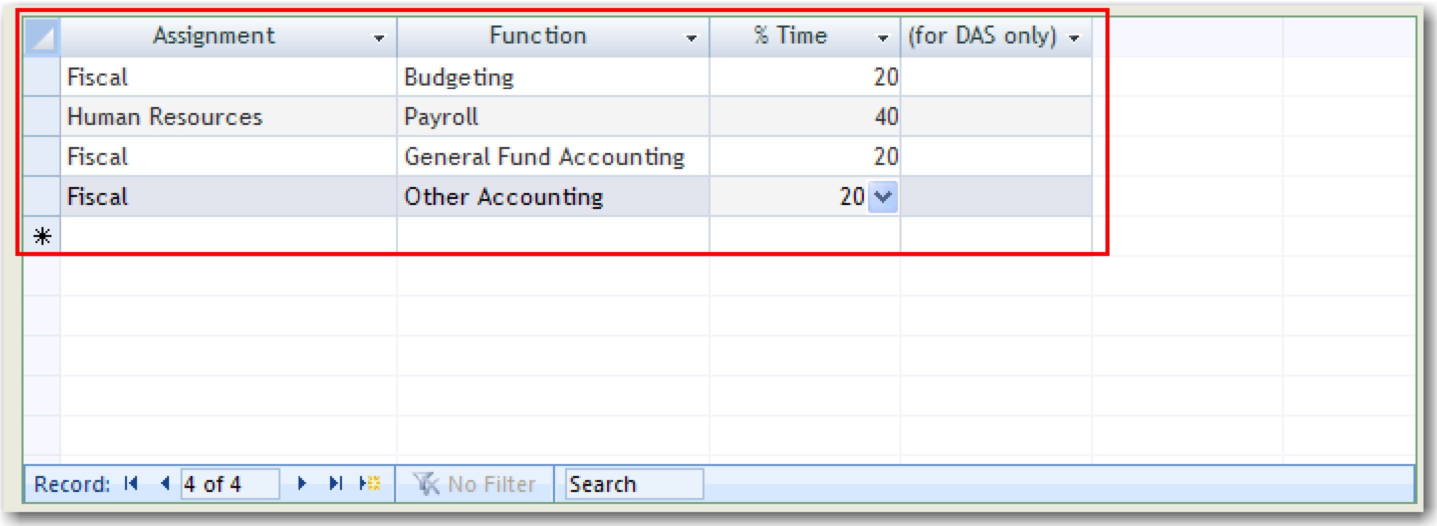


Employee Name: Select the employee name from the dropdown list.

Class Title: This field will populate the employee's job title.

Employment Status: This field will populate the employee's status (full or part-time).

Funding Source: Select the funding source from the dropdown list. This is either G - General Fund, or NG – Non General Fund.



Assignment: Select from the dropdown Assignment for the employee.

Function: Select the function from the dropdown list. If the employee performs multiple functions – list each (up to 5).

Percentage of Time: Select the percentage of time for each function – **not to exceed 100%.**

For DAS Only: This column is for DAS staff whose functions include SMART. In this column indicate the agency the employee is performing the function for.

Enter all employees and <u>all vacant positions</u> associated with the function within the Dept Id.

Click Add Record for each employees **<u>including vacant positions</u>** that are assigned and performing the functions. Include the Employee Name, Class Title, Employment status, Funding Source, Function, and Percentage of Time. Do this for each Department Id that has Fiscal, Human Resources and Information Technology functions in your agency.

Click Save

This completes the survey. Follow the upload procedures in the B. Access the Survey section of this document on page 7.

Agency must upload Organizational Charts.

D. Definitions of Fiscal/Administrative Functions

1. Fiscal Functions

Budgeting – preparing or managing the agency's budget; at higher levels, includes participating in planning or policy decisions; creating or maintaining agency's budget in Core-CT; financial analysis or reporting (e.g., comprehensive financial status report, overtime report)

General Fund Accounting – the agency's general fund accounting, including maintaining accounts or ledgers; processing journals in Core-CT; maintaining the agency's chart of accounts; preparing financial statements or reports; replenishing or reconciling petty cash account

Grant Accounting – maintaining accounting records; reconciling accounts; assisting with grant applications; preparing or analyzing financial statements or reports related to grant funds

Other Accounting – any additional professional accounting or accounts examining work which may be unique to the agency (e.g., accounting for projects, trust funds, private funds, client funds and activity/welfare funds)

Accounts Receivable – processing accounts receivable transactions in Core-CT, including entering, correcting, or posting receivable items; receiving, entering, or applying payments for deposits; reconciling accounts receivable transactions with the general ledger; adjusting or correcting online journals

Billing – processing billing transactions in Core-CT, including entering or maintaining bills or invoices for other state agencies, the federal government, or other entities; adjusting or correcting invoices

Purchasing – procuring commodities or services needed to meet the agency's requirements, including processing or maintaining requisitions or purchase orders; processing changes in purchase orders; preparing or processing requests for quotations (RFQs)

Accounts Payable – processing or maintaining vouchers to record or pay vendor invoices that represent unpaid obligations for commodities or services received by the agency

Grants Administration – monitoring or reviewing the fiscal aspects of federal or state grants including pre-audit or post-audit of payments; review or analysis of budgets or financial statements. May include field work such as auditing grantees or providing grantees with assistance in setting up financial records

Contract Administration – preparing, executing, or monitoring agency contracts, including personal service agreements and purchase of service contracts; entering or maintaining agency contracts in Core-CT

Asset Management – maintaining the agency's property control system to ensure that the State's property, plant, and equipment are acquired, managed, and disposed of properly; performing physical inventory; preparing asset management reports (e.g., CO-59)
Inventory | Stores – operating, managing or accounting for items stored within an agency's store, storeroom, or warehouse, including maintaining items in the agency's inventory system; receiving items, storing, or moving items within the store, storeroom, or warehouse; distributing items to agency personnel; preparing inventory reports

2. Human Resource Functions

Personnel – personnel recruitment, personnel records, classification issues, grievances and other labor relations issues, worker's compensation, career and benefits counseling, etc.

Payroll – the duties associated with paying agency employees, including, but not limited to, processing payroll transactions or withholding money for payment of payroll taxes, insurance premiums, employee benefits, garnishments, or other deductions

3. Other Functions

Information Technology – developing agency policies regarding IT usage, assessing agency software and hardware needs, and contacting vendor (DoIT or outside vendor) for maintenance and service

Training and Staff Development – schedules, assigns, oversees and reviews the work of staff; coordinates, plans and manages training activities; provides staff training and assistance; determines priorities and plans training unit work; establishes and maintains training procedures; provides consultative services to agency managers regarding organization development.