

Internal Operations Manual

SUBJECT: Requests and Letters to the Emergency Board and Interim Joint Committee on Ways and Means

NUMBER: 107-02-020

DIVISION: Operations Division

EFFECTIVE DATE: July 7, 2008

APPROVED:



POLICY/PURPOSE: This policy is to assure that letters submitted to the Emergency Board and relevant committees are timely, written in clear and concise language and follow Budget and Management Division (BAM) guidelines.

AUTHORITY: BAM 2007-09 Emergency Board Guidelines

APPLICABILITY: All DAS Divisions and Offices

ATTACHMENTS:

1. Interim Joint Committee on Ways and Means Letter Format
2. Emergency Board Letter Format
3. Schedule of Emergency Board Letters and Requests
4. Position Information Control System Update Form (PICS)
5. Fiscal Impact Summary
6. Sample format for ten-day notification on federal grant applications requiring retroactive Emergency Board approval

GUIDELINES:

- I. **The Emergency Board is composed of members from the House and Senate. It meets regularly between Legislative Sessions. The Emergency Board acts under the authority granted by ORS 291.322 - 291.336. At times, an Interim Joint Committee on Ways and Means may be established to compliment the Emergency Board sessions. Between sessions, the Emergency Board may:**
 - A. Allocate General Fund money to any State agency;
 - B. Authorize an agency to spend money in excess of its adopted budget;
 - C. Approve budget for a new activity; and
 - D. Authorize transfers between expenditure classifications.

- II. **Requests must meet one of these needs:**
 - A. Items needing legislative approval to achieve savings in agency budgets that should not wait until the legislative session.
 - B. Items needing action to continue or eliminate an approved program (e.g. funds to maintain required caseload and/or workload levels, authority to end a program).
 - C. Items specifically deferred to the Emergency Board by the Legislature and newly legislated assignments where fiscal impact was shown or the impact is greater than projected and provided for under legislation.
 - D. Statutory items requiring review and/or approval by the Emergency Board (e.g.

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- compensation plan changes, fee increases, or fund shifts) and other reports required by the Legislature.
- E. Certain items needing approval to proceed (e.g. major construction projects, repair projects addressing health and safety issues, grant applications). **All requests for federal grant application approval are to be submitted before the grant application is made. Retroactive approval requests will be accepted only if federal timelines precluded timely advance approval.** If retroactive approval will be sought from the Emergency Board for federal grant applications, the division must provide written notice to the President of the Senate and The Speaker of the House of Representatives. The division will then request retroactive authority at the next scheduled meeting of the Emergency Board. The letter must be received at least ten days before the grant application is due. The grant application may not be submitted to the grantor until the end of the ten-day notification period.
 - F. Current or impending shortfalls in agency budgets requiring additional expenditure limitation or Emergency Fund allocations due to circumstances beyond an agency's control. Otherwise, the agency is expected to manage within its legislatively adopted budget.
 - G. Requests to expend Federal Funds, including federal grants.
 - H. Requests that respond to new federal mandates.
 - I. Reports or action needed to satisfy a budget note.

III. Requests For Full-time Equivalent (FTE) Positions:

Requests to establish positions must clearly explain the revenue or funding source to support the request. Documents required for position requests include:

- A. Position Description (PD).
- B. Organization Chart.
- C. Classification Analysis.

Submit the PD and organization chart to DAS Employee Services **at least two weeks prior** to the date the draft letter is due to Operations Division. If the request is approved, Employee Services will write the Classification Analysis. Attach the three required documents to the draft letter, and proceed with the steps outlined in this Policy. **NOTE: For several new positions or a large reorganization, contact DAS Employee Services at least two months early. This will allow time for a thorough review.**

IV. Required Format for Emergency Board Letters

- A. Address Emergency Board letters to the Co-Chairs as shown in the attachments. Format them as follows:
 - 1. Top Margin: 1.75 inches
 - 2. Bottom Margin: 1 inch
 - 3. Left Margin: 1 inch
 - 4. Right Margin: 1 inch
 - 5. Font: Times New Roman
 - 6. Point Size: 12
 - 7. Length: Every effort should be made to ensure that the letter is written in clear and concise language. It must provide enough information to support the request. Attachments are acceptable.
- B. Emergency Board letters must contain these headings in **bold print**:

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1. Nature of the Emergency or Request
2. Agency Action
3. Action Requested
4. Legislation Affected

V. Required back-up documentation:

- A. PICS Update form.
- B. Fiscal Impact Summary.
- C. Position-related information referenced in **Section III**, above.

PROCEDURES FOR GRANT REQUESTS:

<u>Step</u>	<u>Responsible Party</u>	<u>Action</u>
1.	Division Administrator	<ul style="list-style-type: none">• Notify DAS Director or Deputy Director of intent to apply for a grant at least 30 days ahead of the submission date. Work with the Operations Division Emergency Board Coordinator to provide written notice to the Legislative Leadership of the division's intent to request retroactive authority to apply for federal grants at least ten days before the grant application is due.
2.	Division Administrator	<ul style="list-style-type: none">• Develop Emergency Board requests with the support of the Division's assigned Fiscal Analyst and the Employee Services Section of Operations Division.
3.	Division Administrator	<ul style="list-style-type: none">• Submit requests for positions to Employee Services at least two weeks prior to the date draft Emergency Board letters are due.
4.	Financial Services E-Board Coordinator	<ul style="list-style-type: none">• Work with the Division Administrator and Personnel Unit to develop Emergency Board requests.
5.	Financial Services Fiscal Analysts	<ul style="list-style-type: none">• Ensure that required documentation is included. Verify that the numbers are correct. Create the Fiscal Impact Summary. Create PICS Update form (if needed).

PROCEDURES FOR EBOARD REQUESTS:

<u>Step</u>	<u>Responsible Party</u>	<u>Action</u>
1.	Division Administrator	<ul style="list-style-type: none">• Notify the DAS Director or Deputy Director and the Operations Division Administrator of Emergency Board concepts at least 30 days prior to the BAM submission date, according to the schedule set by BAM.
2.	Operations Division	<ul style="list-style-type: none">• Compile list of potential Emergency Board items and

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- Administrator present at next Executive Team meeting.
3. Financial Services Section
 - Notify BAM and LFO regarding potential requests at least 30 days prior to the BAM submission date, according to the schedule set by BAM.
 4. Division Administrator
 - Provide the Operations Division Emergency Board Coordinator with an electronic copy of draft Emergency Board letters at least 3 weeks prior to the BAM submission date, according to the schedule set by BAM. Include all required documentation as outlined in Section V above.
 5. Financial Services Section Analysts, BAM Analyst
 - Review letters and develop written recommendations for the Administrator regarding the proposal, the language in the letter, the supporting documentation and other possible alternatives of handling the issue. This is to be completed two weeks prior to the BAM submission date, according to the schedule set by BAM.
 6. Financial Services Section Analysts, BAM Analyst
 - Financial and BAM Analysts will meet with the Division Administrator to resolve issues that were identified by the Analysts. This is to be completed 10 days prior to the BAM submission date, according to the schedule set by BAM.
 7. Division Administrator
 - Administrator makes agreed upon changes and submits the final draft letter to the DAS Director or Deputy Director and the assigned Financial Analyst at least one week prior to the BAM submission date, according to the schedule set by BAM.
 8. Financial Services Section Analysts, BAM Analyst
 - Financial and BAM Analysts will jointly write and submit a Policy Memo to the Administrator and the Director describing any unresolved issues. This is to be completed at least one week prior to the BAM submission date, according to the schedule set by BAM.
 9. DAS Director
 - Meets with Division Administrator and Analysts to discuss any unresolved issues. Director makes final decision on letter.
 10. Financial Services Section Analysts
 - Financial Analyst makes any changes decided by the Director and completes technical requirements for the letter (format, minor technical edits, PICS update and fiscal forms)
 11. Emergency Board Coordinator
 - Finalize Emergency Board letters. Send them to the Financial Services Manager for final review. Do a final proof read.

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12. Financial Services Section Analysts
 - Following final review by the Financial Service Manger, send final letter to Operations Office Manager for final formatting. Print on Letterhead and prepare for Director's signature.
13. Operations Office Manager
 - Ensure that correct number of copies of each letter is submitted to BAM by 12 noon according to the schedule set by BAM.
14. BAM Analyst
 - BAM complete written recommendations that are consistent with the pre-submission analyses.
15. Financial Services Emergency Board Coordinator
 - Maintain a record of Emergency Board actions. After Emergency Board meetings, send out notice of the final actions of the Emergency Board and include due dates for the next Emergency Board.
16. Financial Services Section Analysts
 - After Emergency Board meeting, revise financial systems to reflect approved changes and revise allotment plans to reflect approved changes.

Format of Letter to the Interim Joint Committee on Ways and Means
(Print on Agency's Letterhead)

Date (Date Letter due to BAM)

The Honorable Kurt Schrader, Co-Chair
The Honorable Mary Nolan, Co-Chair
Interim Joint Committee on Ways and Means
900 Court Street NE
H-178 State Capitol
Salem, OR 97301-4048

Dear Co-Chairpersons:

Nature of Emergency or Request

Describe the reason for appearing before the interim Joint Committee on Ways and Means, include a precise statement of the action being requested.

Agency Action

Describe in detail what actions you have taken to prepare for, offset, or mitigate the emergency, or the need for Joint Committee on Ways and Means action.

Action Requested

Describe precisely what you want the interim Joint Committee on Ways and Means to do. Include precise expenditure limitation and appropriation dollar amounts and number of positions/full-time equivalency/classification information.

Legislation Affected

Cite the appropriate agency ORS statute, appropriation bill, chapter law, and section to be revised if request is approved.

Sincerely,

Scott L. Harra, Director
Department of Administrative Services

FORMAT OF LETTER TO THE EMERGENCY BOARD

(PRINT ON AGENCY'S LETTERHEAD)

Date (Date Letter due to BAM)

The Honorable Peter Courtney, Co-Chair
The Honorable Jeff Merkley, Co-Chair
State Emergency Board
H-178 State Capitol
900 Court Street NE
Salem, OR 97301-4048

Dear Co-Chairpersons:

Nature of the Emergency or Request

A precise statement of the action being requested.

Agency Action

Describe the reason for appearing before the Emergency Board. Describe what is being requested, why it is being requested and how the request is being paid for. Describe in detail what actions you have taken to prepare for, offset, or mitigate the emergency or the need for Emergency Board action.

Action Requested

Describe precisely what you want the Emergency Board to do. Include precise expenditure limitation and appropriation dollar amounts and number of positions/full-time equivalency/classification information.

Legislation Affected

Cite the appropriate ORS statute, appropriation bill, chapter law, and section to be revised if request is approved.

Sincerely,

Scott L. Harra, Director
Department of Administrative Services

EMERGENCY BOARD REQUEST FISCAL IMPACT SUMMARY

Emergency Board Request Title: < Insert Title Here >

PERSONAL SERVICES													
Classification No.	Classification Name	Pos. No.	FTE	SR	Avg. Step	Avg. Salary	Avg. OPE	GF	Lottery	OF	FF	Non-limited	All Funds
OA	C1484 IA Info Systems Specialist 4	0000000	1.00	25	3,043	73,032	29,149	51,090		51,091			102,181
OA	C1484 IA Info Systems Specialist 4	0000000	1.00	25	3,043	73,032	29,149			102,181			102,181
OA	C1484 IA Info Systems Specialist 4	0000000	0.75	25	3,043	54,774	21,862			38,318	38,318		76,636
								51,090	0	191,590	38,318	0	280,998
Total Personal Services												280,998	

SERVICES AND SUPPLIES													
								GF	Lottery	OF	FF	Non-limited	All Funds
4100	Instate Travel												0
4125	Out-of-State Travel												0
4150	Employee Training												0
4175	Office Expenses												0
4200	Telecommunications												0
4225	State Gov Service Charges												0
4250	Data Processing												0
4275	Publicity and Publications												0
4300	Professional Services												0
4325	Attorney General												0
4375	Employee Recruit and Develop												0
4400	Dues and Subscriptions												0
4425	Facilities Rental Taxes												0
4450	Fuels and Utilities												0
SERVICES AND SUPPLIES												0	

	GF	Lottery	OF	FF	Non-limited	All Funds
4475 Facilities Maintenance						0
4525 Medical Services and Supplies						0
4575 Agency Program Related S & S						0
4600 Intraagency Charges						0
4625 Other COP Costs						0
4650 Other Services and Supplies						0
4700 Expendable Property 250-5000						0
Total Service and Supplies	0	0	0	0	0	0

CAPITAL OUTLAY						
5100 Office Furniture & Equipment						0
5150 Telecommunications Equipment						0
5200 Technical Equipment						0
5350 Industrial & Heavy Equipment						0
5400 Automotive and Aircraft						0
5550 Data Processing Software						0
5600 Data Processing Hardware						0
5700 Building Structures						0
5900 Other Capital Outlay						0
Total Capital Outlay	0	0	0	0	0	0

SPECIAL PAYMENTS						
6025 Distribution to Other Governmental Units						0
6030 Distribution to Non-Governmental Units						0
6070 Loans Made to State Agencies						0
6085 Other Special Payments						0
Total Special Payments	0	0	0	0	0	0

DEBT SERVICE						
7100 Principal - Bonds						0
7150 Interest - Bonds						0
7175 Discount on Bonds						0
7200 Principal - COP						0
7250 Interest - COP						0
7300 Principal - Loans						0
7350 Interest - Loans						0
Total Debt Service	0	0	0	0	0	0
TOTAL REQUEST						
TOTAL POSITIONS						
TOTAL FTE						

**SAMPLE FORMAT FOR TEN-DAY NOTIFICATION ON FEDERAL GRANT
APPLICATIONS REQUIRING RETROACTIVE EMERGENCY BOARD
APPROVAL**

(PRINT ON AGENCY'S LETTERHEAD)

<Current Date>

The Honorable Peter Courtney, Co-Chair
The Honorable Jeff Merkley, Co-Chair
H-178 State Capitol
900 Court Street NE
Salem, OR 97301-4048

Dear Co-Chairpersons:

The Department of Administrative Services, Office for Oregon Health Policy and Research (OHPR), requests approval from Legislative Leadership to apply for additional funds relating to an existing federal grant prior to the first regular meeting of the 2001-2003 Emergency Board.

OHPR has been studying approaches to universal healthcare through a HRSA grant that will expire this fall. HRSA has requested a follow up report on activities occurring during the 6 months following the initial grant period and will make funds available to complete the report. However, the application deadline for the funds is August 17, 2001. With approval from the Legislative Leadership, OHPR will take advantage of the opportunity to obtain the additional funds and follow up with a request for retroactive approval from the Emergency Board.

Sincerely,

Scott L. Harra, Director
Department of Administrative Services

September 25/26, 2008 Emergency Board

- Monday, August 4 Notification due to Director/Deputy Director and Operations Division Administrator
- Financial Services notifies BAM/LFO of potential requests
- Thursday, August 7 Operations Administrator brings compiled list to Executive Team meeting
- Monday, August 11 Electronic copies of draft letters due to Operations
- Friday, August 22 Last date for OPS and BAM Analysts to meet with Division Administrators to resolve issues
- Monday, August 25 Notification due to BAM and LFO Analysts
- Final draft of letters due to Director/Deputy Director and Operations Division Administrator
- Ops and BAM Financial Analysts submit policy memo to Director/Deputy Director describing any unresolved issues
- Tuesday, September 2 Letters due from agencies **by noon**
- Monday, September 8 Replacement letters due
- Thursday, September 25 Emergency Board subcommittees meet

December 4/5, 2008 Emergency Board

- Monday, October 6 Notification due to Director/Deputy Director and Operations Division Administrator
- Financial Services notifies BAM/LFO of potential requests
- Thursday, October 9 Operations Administrator brings compiled list to Executive Team meeting
- Monday, October 13 Electronic copies of draft letters due to Operations
- Friday, October 24 Last date for OPS and BAM Analysts to meet with Division Administrators to resolve issues
- Monday, October 27 Notification due to BAM and LFO Analysts
- Final draft of letters due to Director/Deputy Director and Operations Division Administrator
- Ops and BAM Financial Analysts submit policy memo to Director/Deputy Director describing any unresolved issues
- Monday, November 3 Letters due from agencies **by noon**
- Monday, November 10 Replacement letters due
- Thursday, December 4 Emergency Board subcommittees meet