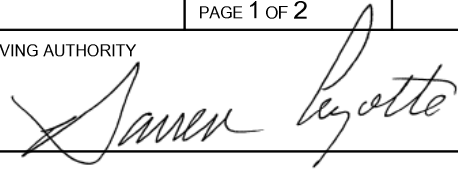
 <p>Corrections and Community Supervision</p> <p>DIRECTIVE</p>	TITLE Signature Forms – Office of the State Comptroller (OSC)		NO. 2740
			DATE 01/30/2024
SUPERSEDES DIR #2740 Dtd. 12/31/18	DISTRIBUTION A	PAGES PAGE 1 OF 2	DATE LAST REVISED
REFERENCES (Include but are not limited to) State Finance Law; ACA Expected Practices 5-ACI-1B-03, 2-CO-1B-05, 4-APPFS-3D-23, 4-APPFS-3E-11; OSC Guide to Financial Operations	APPROVING AUTHORITY 		

I. DESCRIPTION: This directive provides guidelines for the submission of [Form AC-852-S](#), “Business Unit Voucher Authorizer Designation,” [Form AC-2822](#), “Bureau of State Payroll Services Payroll Transaction Authorization Form,” and [Form AC-1782-S](#), “Bureau of Contracts Authorized Signature Form,” required by the Office of the State Comptroller (OSC) under Section 110 of the State Finance Law. Refer to Section XI.2.K in the OSC Guide to Financial Operations (GFO).

Signature forms are used to advise OSC of the names of Departmental personnel authorized to sign documents covering payroll, contract encumbrances, expenditures, refunds, and other fiscal-related documents.

II. POLICY: The Department’s policy is to limit the signing of encumbrance documents to SG-18 level or higher in order to allow fiscal officers to review initial obligations of funds and purchases of questionable items before orders are released.

NOTE: At some facilities, due to limited staffing, the authorization to sign encumbrance documents will be assigned to the highest finance position at the facility. The responsibility for voucher certification may be delegated to a SG-18 level or lower.

III. PROCEDURE: Deputy Superintendents for Administration and Central Office Directors of Budget and Finance and Support Operations shall initiate new signature forms each time there is a change in personnel.

Required signature forms to be completed include the following:

- A. [Form AC 852-S](#) (refer to Section XII.4.B, C in the OSC GFO).
- B. [Form AC 2822](#) (Central Office ONLY).
- C. [Form AC 1782-S](#) (refer to Section XI.2.K in the OSC GFO).

IV. ADDING/DELETING AUTHORIZED SIGNATURES

- A. To add and/or delete a signatory on [Form AC 852-S](#), the Business Office must follow the process outlined on the [Voucher Authorizers Designation Process and Quarterly Certification](#) form.
- B. To add and/or delete a signatory on [Form AC 1782-S](#), the Business Office must refer to Section XI.2.K in the OSC GFO and submit it to the Bureau of Contracts.
- C. To add and/or delete a signatory on [Form AC 2822](#), Central Office will follow OSC’s guidelines to maintain a copy in the Agency’s Payroll Office, which will be made available upon request to OSC.

Signature forms must contain original signatures on each copy. The signature forms are generally self-explanatory; however, please note that the Department Head space shall be signed by the Superintendent at the facility or the Director of Budget and Finance for Central Office.

Voucher Authorizers Designation Process and Quarterly Certification

To ensure DOCCS business offices maintain compliance with OSC Guidelines

Updated 9/13/19

Per the Office of the State Comptroller, the OSC Guide to Financial Operations (GFO) [Chapter XII.4.B – Certification of Vouchers](#) requires that vouchers are to be certified or approved by the department head or his/her designee(s) for submission to the Comptroller for audit. The department head may authorize one or more officers or employees to designate others who may certify or approve vouchers on his/her behalf. A record of these designees and authorizers must be filed with the Comptroller. In the case of DOCCS, the Commissioner has designated each Superintendent as the authority to maintain oversight within their respective facility for voucher certification and voucher authorizers.

The process and documentation requirements to maintain compliance are outlined in the GFO [Chapter XII.4.C – Updating Business Unit Certifiers](#), which states in part: *“The Bureau requires all Business Units to **certify contact information quarterly and requires updates to contact information within two weeks of a contact changing.**”*

Quarterly Certification:

- To comply with quarterly certifications all facilities are to submit a verified copy of their AC852-S to the Doccs.sm.SFSTeam mailbox on March 1st, June 1st, September 1st, and December 1st.

Updates to Contact Information:

- Anytime changes are made, which affect the compliance with this policy, the AC852-S form and the OSC Contact System must be updated. Both steps are mandatory.
- 1) To update the [AC852-S](#), complete a new form, obtaining all required signatures. The superintendent (or acting superintendent) will sign as the B/U Head or Designee. This original form is kept on file at the facility and may be requested for audit purposes. **DO NOT** mail this form to OSC.

The AC852-S form must include your:

- a. Superintendent
- b. Deputy Superintendent for Administration
- c. Steward
- d. Head Account Clerk
- e. All individuals with the SFS role of AP Approver or TE Approver Lvl 1 – **Note: these SFS role should only be assigned to Grade 14's or above.**

2) To update the OSC Contact System, your facility will send an email to the Doccs.sm.SFSTeam with the subject "Voucher Authorizers." This email must include the below information for any employee(s) being **added, modified, or removed**. Upon receipt of required information, the DOCCS SFS Team will perform all required updates in the OSC Contact System.

➤ *Although the GFO outlines how to get access in order to modify your Voucher Authorizers in the OSC Contact System, facility staff should **NOT** do this.*

*Each field marked with an astrick is a required field.

- a. *Action to Take – Add, Remove, Modify
- b. *Contact Type (see chart below)
- c. *Salutation (Mr., Ms., Mrs., etc.)
- d. *First Name
- e. Middle Initial
- f. *Last Name
- g. Suffix (Jr., Sr., MD, etc.)
- h. *Facility Name
- i. *Address 2 (Make sure it includes the facility street address and PO Box if applicable)
- j. *City
- k. *State
- l. *Zip
- m. *Email Address
- n. *Phone w/Extension
- o. Fax w/Extension
- p. *Title
- q. *SFS User ID for those with the AP Approver role or TE Approver Lvl 1 in SFS

The information being provided via e-mail must be consistent with the AC852-S your facility maintains on file. Any SFS users assigned the AP Approver or the TE Approver Lvl 1 role must be included on your AC852-S and in the OSC Contact System.

If you are unsure whether or not an employee is in the OSC Contacts Database, or you are unsure what his/her permissions are, send an email to the Doccs.sm.SFSTeam mailbox requesting the information.

DO NOT mail the AC852-S to OSC. Keep the original form on file at the facility and notify the Doccs.sm.SFSTeam mailbox of the changes to your "Voucher Authorizers" via step 2 above.

If you have any questions about the policy, please direct them to the Doccs.sm.BF.FinanceUnit mailbox.

The following chart lists the types of contacts maintained by OSC and the type of contact each Business Office is responsible for updating both on the AC852-S and as part of the Voucher Designation Process in the OSC Contact System.

Contact Type	Contact Description	Actions
State Agency - Head of Business Unit	Responsible for the operations of a Business Unit. Ex. Commissioner, Chancellor, Executive Director	N/A
State Agency - Head of	Responsible for the operations of a facility, or campus within a Business Unit.	N/A
Facility/Campus	Ex. President of a campus, Superintendent of a prison, Executive Director of a psychiatric center	This would be your Superintendent
State Agency - Deputy for Administration	Responsible for the administrative functions of a Business Unit, facility, or campus.	This would be your DSA
State Agency - Fiscal Officer	Responsible for the procurement and business office functions of a Business Unit, facility, or campus.	This would be your Steward
State Agency - Internal Auditor	Responsible for the internal audit functions of a Business Unit, facility, or campus.	N/A
State Agency - Audit Liaison	Responsible for coordinating and facilitating the audit process between OSC and the Business Unit, facility, or campus.	N/A
State Agency - Voucher Authorizer	Responsible for authorizing the transmission of vouchers for payment to OSC. Replaces the Legacy Authorized Signature role.	This would be only those employees you would designate on your AC852-S as a Voucher Authorizer (including any with the SFS role of AP Approver and TE Approver Lvl 1).