

<b>Finance and Administration Cabinet STANDARD PROCEDURE</b>		<b>ISSUED BY:</b> Executive Management; Office of General Counsel
<b>PROCEDURE #1.1</b>	<b>SUBJECT:</b> Finance Standard Procedures and Manual	
<b>EFFECTIVE DATE:</b> 9/16/11		
<b>CONTACT:</b> Standard Procedures Coordinator		<b>LOCATION:</b> Capitol Annex Room 392 <b>PHONE:</b> 502-564-6660

## STATEMENT OF AUTHORITY

1. The Finance and Administration Cabinet's Standard Procedures Manual establishes standard mandatory internal procedures cabinet-wide. These procedures are established in accordance with the Secretary's statutory authority under KRS 42.014 and KRS 12.270 to establish the internal organization and functions of the Cabinet as necessary to perform the duties effectively.
2. The Standard Procedures Manual may only be revised in accordance with the process outlined in Standard Procedure #1.1 entitled: "Finance Standard Procedures and Manual".

## I. PURPOSE

The Finance and Administration Cabinet (Cabinet) maintains a Standard Procedures Manual, which includes Cabinet-wide procedures that govern all employees and policies and procedures specifically applicable to respective departments within the Cabinet. This manual provides employees with a readily accessible means of learning the procedures of the Cabinet and its respective departments. The Standard Procedures Manual consists of the following seven categories:

- 1.0 Executive Management
- 2.0 Human Resources/Office of Administrative Services
- 3.0 Office of Equal Employment Opportunity and Contract Compliance
- 4.0 Department for Facilities and Support Services
- 5.0 COT/Security
- 6.0 Revenue
- 7.0 Forms

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## II. PROCEDURE

### A. Create, Amend or Repeal a Standard Procedure

Any Cabinet employee or employee of an attached agency may propose ideas for creating, amending or repealing a Standard Procedure.

1. The employee shall prepare and submit a [Justification Form \(Form SP7.100011\) \(L1001\)](#) outlining the reason(s) for the action requested and if relevant, a draft of the proposed Standard Procedure to their immediate supervisor for review and to their Division Director and Commissioner/Executive Director for review and signature.
2. If approved, the Commissioner/Executive Director shall submit the original Justification Form along with all relevant documents to the Standard Procedures Coordinator.
3. The Standard Procedures Coordinator, designated by the Secretary of the Cabinet, shall:
  - a. Review the proposal and coordinate with the originating Commissioner/Executive Director regarding any questions or concerns.
  - b. Prepare a [Recommendation Form \(Form SP7.100012\) \(L1002\)](#) approving or denying the request and, if relevant, a final copy of the proposed Standard Procedure.
  - c. Forward the original Justification Form, Recommendation Form and all relevant documents to the Office of Policy and Audit (OPA) for audit review and comment.
  - d. Submit the Recommendation Form; the final copy of the proposed Standard Procedure, if relevant; and the original Justification Form to the Executive Director of the Office of General Counsel (OGC) and the Secretary of the Cabinet for signatory approval.
  - e. Notify originating Commissioner/Executive Director of Secretarial Approval status, and provide a copy of the signed Recommendation Form and if relevant, a copy of the final Standard Procedure and applicable forms.
4. In the event that resolution of an issue is not achieved prior to Secretarial approval the Executive Director of OGC shall have final authority.

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5. If the issuing agency decides to withdraw its Justification Form, it shall prepare a memo stating their request for withdrawal and submit it to the Standard Procedures Coordinator.

## **B. Drafting Requirements**

1. A Standard Procedure shall be written in:
  - a. Arial 11 font.
  - b. Active tense, with concise and clear language, and simple terms that instruct.
  - c. Outline format.
  - d. One inch margins on all sides; Justified alignment.
2. A Standard Procedure shall be formatted in the following order:
  - a. *Statement of Authority* as set forth below:

### **STATEMENT OF AUTHORITY**

1. The Finance and Administration Cabinet's Standard Procedures Manual establishes standard mandatory internal procedures cabinet-wide. These procedures are established in accordance with the Secretary's statutory authority under KRS 42.014 to establish the internal organization and functions of the Cabinet as necessary to perform the duties effectively.
  2. The Standard Procedures Manual may only be revised in accordance with the process outlined in Standard Procedure #1.1 entitled: "Finance Standard Procedures and Manual".
- b. *Purpose* statement, which sets forth the position of the authorizing office and may include any statutory or regulatory citations.
  - c. *Definitions* section, if relevant, shall be:
    1. In alphabetical order,
    2. Written in the following format: "[Word defined]" means...", and defines the term used.

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- d. *Procedure* section, which explains duties in sequence with specific steps.
- e. Additional sections such as, but not limited to, *Approval Process*, *References*, etc.
- f. *Forms* section, which shall be the last section of all Standard Procedures. This section shall contain a list, in the order presented, of the forms referenced within the Standard Procedure. Forms shall be noted as follows: [Standard Procedure Form Number]: [Form Name] [Agency Form # (if applicable)]. Standard Procedure form numbers shall be designated by the Standard Procedure Coordinator.

3. A Standard Procedure shall include:

- a. The following header at the top of each page:

<b>Finance and Administration Cabinet STANDARD PROCEDURE</b>		<b>ISSUED BY:</b> (Issuing Office)
<b>PROCEDURE #</b> _____	<b>SUBJECT:</b> (name of procedure)	
<b>EFFECTIVE DATE:</b> (creation date followed by any and all revision dates)		
<b>CONTACT:</b> (title of position, not the actual name of the person)		<b>LOCATION:</b> (Building and room number) <b>PHONE:</b> (main phone number)

- b. The following page number format at the bottom of each page: “page” of “number of pages” in the Standard Procedure.
- c. A procedure number, which shall be placed within the header table and assigned by the Standard Procedures Coordinator.
- d. The “effective date,” which is the date of Secretarial approval and entered by the Standard Procedures Coordinator.

4. A Standard Procedure shall not consist of only a *Purpose* statement.

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### III. DISTRIBUTION AND ADMINISTRATION

#### A. Notification of Standard Procedure Updates

1. Each Standard Procedure shall be made readily available on the Finance and Administrative Cabinet's intranet page within thirty (30) days of the signatory approval date of the Secretary of Finance.
2. An email notification shall be sent from the Secretary of the Cabinet notifying employees of new, amended and repealed Standard Procedures. Supervisors shall provide a hard copy of the Secretary's notice and the referenced Standard Procedures to their employees who have limited or no access to the Cabinet's intranet website.

#### B. Records Retention and Access

1. The OGC shall maintain an up-to-date Standard Procedures Manual.
2. The OGC shall archive all repealed and amended Standard Procedures.
3. The Standard Procedures Coordinator shall ensure that the Cabinet's intranet website contains the most up-to-date versions of all Standard Procedures.
4. Each employee shall be granted reasonable opportunity to read and review the Standard Procedures Manual.

### IV. FORMS

[Form SP7.100011](#): Justification Form (Form L1001)

[Form SP7.100012](#): Recommendation Form (Form L1002)