



STATE OF MINNESOTA INTERAGENCY AGREEMENT

Admin's Small Agency Resource Team (SmART) seeks to improve the efficiency and effectiveness of financial and human resources services for small agencies, boards, and councils. SmART enables administrative efficiency by sharing the specialized resources and expertise of a larger administrative organization. SmART's services enable partner agencies to better focus on their core business.

This agreement is between the Minnesota Department of Administration SmART (Admin) and the Administrative Services Unit per M.S.204.107 (Agency).

Agreement

1. *Term of Agreement*

1.1 **Effective date:** July 1, 2021.

1.2 **Expiration date:** June 30, 2023 or until all obligations have been satisfactorily fulfilled, whichever comes first.

2. *Scope of Work*

Admin will provide human resource services, accounting transaction and other financial services to the Agency as described in Exhibits A, B, C, D and E, which are attached and incorporated into this agreement. Exhibits A, B, C and D describes the division of responsibilities between Admin and the Agency as it relates to this work. The success of the work that takes place under this agreement is dependent on both Admin and the Agency understanding and upholding their respective roles and responsibilities.

The Agency retains decision-making authority and responsibility for its human resource decisions for ongoing implementation of appropriate business processes. Admin provides transactional, relational, and other human resource expertise in an advisory capacity. The parties understand and agree that Admin is not and not intended to be the employer or joint employer of the Agency's applicants, employees or former employees by reason of the work performed or services provided under the Agreement. The Agency is responsible for following all applicable employment laws, collective bargaining agreements and compensation plan requirements, state policies and procedures.

The Agency retains ownership and responsibility for its spending decisions and for ongoing implementation of appropriate business processes, while Admin provides transaction and other financial services and serves in an advisory capacity.

3. *Authorized Representative*

Admin's Authorized Representative is Lenora Madigan, Deputy Commissioner, 50 Sherburne Avenue, St Paul, MN 55155, or her successor.

The Agency's Authorized Representative is Bridgett Anderson, Executive Director/ASU Manager or her successor.

In the event the Agency has a dispute involving services provided by Admin that cannot be resolved through normal interaction with Admin staff, the Agency, at its discretion, should contact Admin's Deputy Commissioner, Lenora Madigan, to seek resolution.

4. *Consideration and Payment*

The total cost for all services covered by this agreement is \$592,520 for FY22 with the FY23 amount to be determined in June 2022. Admin will invoice the Agency quarterly, in an equal amount each quarter, for the services outlined in this agreement. The Agency will approve invoices and make timely payment to Admin for the services outlined in this agreement.

5. Amendments

Any amendment to this agreement, with the exception of changes to the purchasing and payment signature authorities identified in Exhibit E, must be in writing and will not be effective until it has been executed and approved by the same parties who executed and approved the original agreement or their successors in office. Changes to the signature authorities in Exhibit E must be acknowledged with a revised Exhibit E signed by the Agency's Authorized Representative or by other written communication (memo, email, etc.)

6. Government Data Practices

Admin and the Agency must comply with the Minnesota Government Data Practices Act, Minnesota Statutes Chapter 13, as it applies to all data exchanged under this agreement, and as it applies to all data created, collected, received, stored, used, maintained, or disseminated by either party to this agreement. The civil remedies of Minnesota Statutes Chapter 13.08 apply to the release of the data referred to in this clause by either party.

7. Liability

Each party will be responsible for its own acts and behavior and the results thereof.

8. Termination

Either party may terminate this agreement at any time, with or without cause, upon 90 days' written notice to the other party.

STATE ENCUMBRANCE VERIFICATION *Individual certifies that funds have been encumbered as required by Minn. Stat. §§ 16A.15 and 16C.05.*

Signed: DocuSigned by: Laura Goiffon
691D107158D3453...

Purchase Order: 197164/300-858

Date: 7/13/2021

Administrative Services Unit (Agency)

By:  (with delegated authority)

Title: Executive Director, Board of Dentistry

Date: 6 28 2021

Department of Administration (Admin)

By: Lenora Madigan Digitally signed by Lenora Madigan Date: 2021.06.30 18:50:41 -05'00' (with delegated authority)

Title: Deputy Commissioner

Date: 6.30.21

EXHIBIT A to Interagency Agreement between the Department of Administration Human Resources (Admin) and Administrative Services Unit (Agency)

Admin (in addition to the roles and responsibilities described in Exhibit B of this agreement) is responsible for the following human resource transactions/duties:

Accommodations

- Review and provide advice and guidance in responding to requests for ADA accommodation.
- Complete ADA reports for the Agency.
- Advise managers and supervisors of the requests for reasonable accommodations.
- Lead the interactive process for evaluating the merits of requests for reasonable accommodation.
- Determine eligibility for reasonable accommodation.

Ad Hoc Reporting

- Upon request, provide ad hoc reports on employee costs; leave use; hires; separations; and other employment information contained in the state's information warehouse.

Affirmative Action Plan, Action Items and Reports

- Draft Affirmative Action Plans and discuss with Agency leadership for approval.
- Submit biennially to Minnesota Management and Budget (MMB) for review and approval.
- Facilitate Action Items in consultation with Agency leadership.
- Monitor efforts and progress and report to Agency leadership on a quarterly basis.
- Complete Quarterly Hiring Reports for the Agency and submit to MMB.
- Provide consultation and direction of program requirements and principles to executive agency management and supervisors.
- Provide a confidential resource for employees to discuss workplace issues related to discrimination or harassment that impacts their ability to do their job, or their job performance.
- Conducts and/or coordinate investigations of alleged discrimination charges and provide clear written summaries of the issues, facts, and findings.
- Provide advice, or make recommendations, to the appropriate members of management as to actions to be taken in response to investigations or workplace harassment or discrimination.

Classification and Compensation

Admin has received delegated authority from MMB to make classification and compensation decisions. Admin must abide by accepted practices and rules governing classification and compensation in order to retain this delegation. MMB periodically audits Admin's work to determine compliance with rules and laws.

- Review position descriptions, determine appropriate classification or class option, bargaining unit designation, and Fair Labor Standards Act (FLSA) status, document audit decisions, and explain the rationale for classification decisions.
- Advise on and approve or deny compensation requests outside of Agency delegation of authority.
- Admin is not responsible for processing information if it has not received the proper documentation as outlined in Exhibit B and on the Managers and Supervisors SharePoint site.

Communications

- Disseminate pertinent information in a timely fashion via GovDelivery.
- Promptly and accurately respond to or forward email messages from the HR email box to the appropriate representative.

Contract Administration

- Advise managers and supervisors on the application of labor contracts and plan language.
- Advise managers and supervisors on the practical application of employment laws such as FMLA, FLSA, ADA, USERRA, and all discrimination laws.

File Maintenance and Storage

- Maintain and securely store the personnel files and I-9 documents of Agency employees.
- Maintain and store audit (job classification decisions) documentation and requisition (vacancy filling) files. This does not include information that managers and supervisors develop during search processes including interview questions, scoring metrics, assessments, etc., which must be maintained by the Agency.
- Agency is responsible for maintaining supervisory files.
- Inform the Agency on the types of personnel information that should be securely maintained at Agency worksite.

General Benefits Administration

- Convey benefit updates and information from MMB to Agency Representative for distribution to employees of the Agency.
- Benefits questions and issues will be handled directly by the State Employee Group Insurance Program (SEGIP) at MMB.

Labor Relations, Investigations and Employment Law

- Advise and/or respond to grievances for the Agency as appropriate.
- Advise management regarding relationship with union, including meet and confer sessions, union leave.
- Convey new laws, state rules, and issues from MMB to Agency Representative for distribution to employees of the Agency.
- Advise supervisors and managers on other employment law issues such as discrimination, sexual harassment, etc.
- Review unemployment claims and represent management in unemployment hearings. Prepare and submit documentation for UI appeals, contested cases, etc. The Agency should work with DEED to make Admin their unemployment agent.
- Human Resources will provide intake services of complaints, will forward the complaint to the appropriate person at the Agency, will advise on potential liability issues and best practices for handling. Labor Relations Consultant(s) will provide investigative services, when appropriate.
- Advise managers and supervisors on potential discipline associated with investigations.

Under the law, employers have an obligation to conduct a prompt and thorough investigation of discrimination or harassment complaints. In addition, bargaining contracts/plans require an investigation prior to the issuance of any discipline, whether for work performance or conduct. Admin will perform compliant intake, investigations when appropriate, and case management. Agencies should be prepared to retain an outside investigator if this is determined to be the appropriate course of action. Admin is able to coordinate with the Agency in contracting an outside investigator. The Agency is responsible for paying all costs associated with independent investigations. Should a complaint be filed against the head of an agency, Admin will consult with the agency's Board Chair or the Governor's office, as appropriate.

Leave Coordination

- Process and coordinate FMLA requests.
- Guide Agency managers, supervisors, and employees on other leave types.
- Process transactions involving leaves.
- Provide guidance to the Agency's timekeepers, managers, supervisors, and employees regarding the appropriate data that needs to be entered into the timesheet.

New Employee Orientation (NEO)

- Prepare and deliver bi-weekly NEO for all new employees to the Agency.

Payroll

- Process bi-weekly payroll within established timelines, answer questions, resolve payroll issues, and review payroll records on a regular basis following all applicable federal laws and state guidelines and processes.

- Process retirement and resignation payouts in accordance with collective bargaining agreements or plans.

Performance Management

- Coach managers and supervisors on performance management.
- Assist the agency in initial screening of allegations relating to employee misconduct, performance or attendance problems; and conduct and/or coordinate investigations.
- Advise managers and supervisors on managing performance, attendance, conduct issues, and assist with implementing corrective action, including withholding of performance increases, issuing disciplinary action, letters of expectations, etc.

Recruitment and Selection

- Provide expertise to managers and supervisors in the hiring process to ensure the Agency follows collective bargaining unit contracts and plans, employment laws, and state laws governing state positions.
- Advise on minimum and preferred qualifications and recruitment options.
- Post vacancies in accordance with HR/LR Policies.
- Review position applications to determine which applicants meet the minimum qualifications and refer qualifying candidates to the hiring supervisor.
- Respond to appeals of applicant qualification determinations under Minn. R. 3900.4700.
- Review interview questions and other selection criteria and exercises used in the hiring process, and assist managers and supervisors in developing questions, when requested.
- Document hires for affirmative action purposes.
- Compose and issue offer and employment confirmation letters.
- Examine I-9 documentation, after hire, for legal hiring.
- Notify applicants of position hiring decisions.

Safety & Workers' Compensation

- File yearly OSHA lost-time reports.
- Assist with first reports of injury filings.

Admin has a Safety Administrator on staff. If the Agency needs guidance or assistance with safety issues, upon availability, the Safety Administrator can be hired as a consultant on a case-by-case basis.

Training

- Train managers and supervisors on human resources practices, employment law, bargaining unit contract language, compensation, and other topics directly related to human resources.
- Conduct training and/or track completion on topics mandated by law or policy – code of conduct, sexual harassment prevention, right-to-know, etc., based on availability.
- Train managers and supervisors in accordance with Affirmative Action Plan goals and Action Items along with implicit bias.

Transactions

- Complete accurate and timely transactions related to:
 - Changes in employee information
 - Hire
 - Funding
 - Promotion
 - Separation dates
 - Increase dates
 - Department ID
 - Medical leaves of absence
 - Performance reviews, etc.
- Serve as the Security Administrator for processing access to the State HR systems that an agency employee might need and review that access on an annual basis per state guidelines.

Timely transactions depend on Admin receiving timely information from supervisors and managers about employee status. Admin is not responsible for processing information if it has not received a written request.

EXHIBIT B to Interagency Agreement between the Department of Administration Human Resources (Admin) and Administrative Services Unit (Agency)

SERVICE LEVEL AGREEMENT

Admin SmART Human Resources Responsibilities:

Admin will provide the following level of service:

- Vacancies will be posted within three business days* of receipt of a completed request to fill (if the position does not need to be allocated or the allocation changed).
- Managers and supervisors will receive a list of qualified candidates within five business days of the closing of a posting.
- Positions requiring initial allocation will be allocated within two weeks of the receipt of a complete position description, organizational chart, and signed Position Transaction Request Form.
- Positions requiring reallocation will be audited within six weeks of the receipt of a complete position description, organizational chart, and signed Position Transaction Request Form.
- Investigations will be conducted promptly. Timing depends on the exact circumstances and availability of investigators and union representatives.
- Leave requests will be reviewed promptly and answers provided within three business days.
- NEO will be conducted twice per month on Wednesdays, at the start of a new pay period.
- Transactions turned in by Thursday of the non-payroll week will take effect that payroll period.
- Employees hired during the last two days of the pay period may not be paid for those days until the next pay period.
- Changes to state policies/procedures will be communicated within two business days of receipt from Admin or MMB.

*Admin SmART will do our best to adhere to the timelines listed above based on staffing levels, volume of work, and other changes mandated by MMB.

Agency Human Resource Responsibilities:

Management of the Agency is responsible for the actions of the organization's employees, including unethical, violent, or harassing behavior and failure to follow state policies and procedures.

Like all other agencies, the Agency is also responsible for completing the following human resource actions:

Accommodation Requests

- Timely notification of requests for accommodation will be made to the ADA Coordinator.
- No accommodation requests will be denied without first consulting with the ADA Coordinator.

Affirmative Action Plan

- Work jointly with Admin in the creation and implementation of biennial Affirmative Action Plan and Action Items.
- Adhere to the plan and make it a living document.

Classification

- All positions have position descriptions that are updated at least every three years and a copy placed in the supervisory file.
- Position descriptions must be consistent with the employees' actual job duties, include a listing of essential functions under the ADA, and clearly indicate the employee's level of decision-making authority.

- Send completed and signed position descriptions electronically to the HR Services Mailbox.
- The Agency must provide documentation of requests to convert unclassified position to the classified service at least one month in advance of the end of the unclassified position.

Employee Evaluation

- New employees must receive copies of their position descriptions and onboarding to their work and their work unit.
- All new employees must receive mid-probationary and end of probationary reviews.
- All employees must be given feedback on their performance at least once a year with a written formal evaluation placed in the supervisory file.
- Performance expectations are made clear for all employees.
- Send completed and signed employee evaluations electronically to the HR Services Mailbox.
- Employees whose performance, attendance, or behavior is problematic must be discussed with the appropriate Labor Relations Consultant or HR Staffing Representative.

File Maintenance and Storage

- Maintain supervisory files in accordance with all applicable state laws and guidelines.

Hiring

- Managers and supervisors will not offer employment prior to the Admin SmART Human Resource office affirming that all parts of the process are complete.
 - Hiring managers will provide their HR Staffing Representative:
 - A list of panel members
 - A list of candidates selected for interview prior to sending invitations
 - Draft interview questions and assessments, if applicable
 - Interview Summary Sheet or similar documentation providing summary of the interview process and identification of finalist(s)

Labor Relations

- The Agency is responsible for paying all costs associated with an independent investigation.
- Timely notice will be given to Admin for Labor Relations issues.

Leave/FMLA Requests

- Timely notice will be given to the Admin Leave Mailbox when knowledge of possible FMLA/Other Leave related events occur.

Policies and Procedures

- Appoint an Ethics Officer and communicate that designation to employees and Admin.
- Ensure formal delegations of duties are on file.
- Ensure operating practices are consistent with state policies.
- Appropriate action is taken for violations of policy.
- Respond to data practices requests. Consult with Admin as needed.
- Provide operating policies and procedures to Admin.

Training

- Employees receive appropriate training related to their position.
- All classified managers and supervisors attend required training(s) through Enterprise Training and Development (ETD).
- Payment of all costs associated with training provided by ETD, MN-IT or other agencies external to the State.

Worker's Compensation

- Submit the First Report of Injury (FRI) within three business days of the incident/injury

**EXHIBIT C to Interagency Agreement between the
Department of Administration Financial Management and Reporting (Admin) and
Administrative Services Unit (Agency)**

Admin (in addition to the roles and responsibilities described in Exhibit D of this agreement) is responsible for the following financial transactions/duties:

Access to Information

- Maintain to the best of Admin's ability staff assignments and security access into the state's accounting/procurement, payroll/human resource, and budget systems to prevent access to functions that are considered incompatible for the maintenance of strong internal financial controls.
- Ensure separation of duties or maintain compensating internal controls for work done by Admin.

Budget

- Enter biennial budget financial data into BPAS or more current system.
- Enter completed fiscal notes into the FNTS or other more current system and provide guidance and consultation on fiscal note development and processes.
- Enter annual and revised budget data into the state's accounting/procurement system.

Daily Processes

- Expedite the payment process by increasing an encumbrance for an invoice approved for payment by the Agency without requiring a signature, email or other approval to process the increase *if the encumbrance balance is not sufficient to cover the payment*. The encumbrance will be increased enough to allow the payment to be processed. If an encumbrance is short by more than \$2,500, Admin will contact the Agency for approval before the increase is processed.
- Process payments in accordance with the prompt pay statutory requirement.
- Enter/process expense reports in the state's payroll system and retain original expense reports and supporting documents for audit purposes.
- Research any errors/discrepancies reported by the Agency and correct as needed.
- Assist with timely deposit of receipts, if needed, and enter deposit information into the proper account(s) in the state's accounting/procurement system.
- Maintain accurate capital asset records in SWIFT based on asset information provided by the Agency and purchasing activity conducted under this agreement.

Procurement and Contracts

- Enter purchase orders, professional/technical contracts, grant contracts, interagency agreements, annual plans, and other similar agreements into the state's accounting/procurement system, in order to encumber funds.
- Provide copies of any 16A.15-16C.05 or Purchasing Violation forms to OSP as required by statewide purchasing and contracting policies.

Reports

- Supply additional financial reports as needed.
- Advise and consult regarding financial reports available to the Agency.

Other

- Provide assistance as needed to support the Agency's responsibility to manage and monitor its budgets and discuss any questions or concerns with the Agency.
- Provide financial policies and procedures for use by the Agency.
- Complete and submit fiscal year-end certifications to MMB.

**EXHIBIT D to Interagency Agreement between the
Department of Administration Financial Management and Reporting (Admin) and
Administrative Services Unit (Agency)**

Admin Financial Responsibilities:

Admin agrees to process the following financial transactions for the Agency:

Payments will be processed in accordance with prompt payment statutory requirements (i.e. within 30 days of the later of the receipt of an invoice or receipt of goods or services).

Purchase orders requiring no bid process will be created within 4 days of receipt of a properly completed/approved EIOR Purchase Request in FMR. The time required to create orders requiring bid processes is highly variable, thereby precluding one standard target period for order creation.

Accounts Receivable (AR) Billing invoice requests will be processed in accordance with policies and procedures and based on the requested billing date. Prepare quarterly AR assignment for agency certification to MMB.

Cash Management Cash receipts will be processed daily or within one business day of request in accordance with policies and procedures and statutory requirements.

The following additional terms apply to this agreement and are categorized by the basic steps in the purchasing and payment process:

Purchase Request

- An EIOR (or other more current system) purchase request must be completed by the Agency and submitted to Admin for all purchases.
- The agency is responsible for providing complete and correct specifications and related information on any purchase request forms submitted to Admin.
- Timely processing of orders is dependent on a correct and complete purchase request.
- The Agency must allow sufficient lead time when submitting a purchase request to allow for the normal purchasing process and shipment of goods or services.

As an addendum to this Interagency Agreement, the Agency will provide the names of its employees authorized to approve purchases. An updated Exhibit E or other written communication (memo, email, etc.) is required each time the list changes. An updated Exhibit E may be executed without formal amendment of the Interagency Agreement.

Purchase Order

- Purchase orders that Admin creates will comply with Authority for Local Purchase (ALP) requirements and other applicable statutory and policy requirements.
- Admin will advise the Agency regarding purchasing requirements (i.e. when a state contract purchase is required) as needed.
- Admin will transmit purchase orders under this agreement to the Agency.
- The Agency will transmit purchase orders to vendors as appropriate.
- The Agency will not initiate orders by phone calls to vendors or other means prior to the creation of a purchase order or other appropriate encumbering transaction in the state's accounting/procurement system by Admin unless necessary due to an emergency as defined by statute.

M.S. 16C.10 defines an emergency as a threat to public health, welfare, or safety that threatens the functioning of government, the protection of property, or the health or safety of people. The normal solicitation process is not required for emergency purchases, but the Agency must contact Admin as early as possible so that Admin can inform OSP in writing and enlist their assistance as is appropriate. If time permits, this contact should occur before making an emergency purchase, but if time does not permit, the Agency is expected to act promptly to address the emergency.

The Agency is responsible for distribution of pertinent documents to its property management coordinator or other personnel.

Contract

- The Agency must not direct a contractor to begin work until Admin has encumbered funds and the contract or agreement has been executed.
- Prior to encumbering an Annual Plan Agreement, the Agency will provide a copy of its approved Annual Plan Memo to Admin.
- The Agency will provide Admin with a fully signed copy of each contract that is executed.

Receipt of Goods or Services

- Goods ordered will be shipped directly to the Agency unless the purchase request indicates otherwise.
- The Agency must document the date goods or services are received.
- Packing slips, receiving reports, work orders or other documentation indicating receipt of goods/services must be sent to Admin to support invoices to be paid.
- The Agency is responsible for notifying its property management coordinator of receipt of goods when necessary.

Invoices

- Vendors will be instructed to send invoices directly to the Agency unless otherwise agreed or transmitted through the state's accounting/procurement system.
- After date-stamping invoices upon receipt and applying payment approval as discussed in the next section of this agreement, the Agency will promptly forward invoices to Admin to enable payment within the statutory time period established for prompt payment or any more restrictive payment terms agreed to.

Payment Authorization

- The Agency must provide authorization to pay each invoice, which may be indicated on the invoice itself.
- Invoices for services received under a contractual agreement (i.e., professional technical, grant, and other similar contracts) must be authorized for payment by the person designated in the contract as the state's authorized representative.
- If the contract does not specify a state's authorized representative, an Agency staff person with delegated authority to approve invoices will sign the invoice to approve payment.

Payment Processing

- Admin will process payments in accordance with the prompt pay requirements established by M.S. 16A.124 Subd 3. Prepayments are not allowed unless permitted by state policy.
- The Agency and Admin are responsible for meeting the state's prompt payment goal that 98% of invoices are paid within 30 days.

Accounts Receivable

- Admin will process AR billing invoice requests in accordance with policy and procedures and based on the agency requested billing date.
- Agency will be responsible for providing customer data and billing requirements to Admin for distribution.
- Admin will prepare the quarterly AR assignment for the agency to certify and submit to MMB.

Cash Management

- Admin will process cash receipt requests in accordance with policy and procedures and within one business day upon receiving the request.
- The agency is responsible for providing timely, complete, and accurate data.
- Admin will work with the agency to resolve any deposit discrepancies, returned items, and reconciliation issues.

Filing of Documents

- All documents must be retained in accordance with applicable records retention policies.
- Admin will retain the original purchase request, copy of the purchase order, the original packing slip or other similar documentation, and the original invoice unless otherwise agreed.

SWIFT Implementation

- As SWIFT is improved and enhanced, business processes may change.
- As system expertise increases and future phases are implemented, policy and process changes may continue.
- Examples include electronic purchase requests, asset management, approvals, signatures, sourcing, and contracts.
- SWIFT implementation may affect whether documents are retained in paper or electronic form.

Agency Financial Responsibilities:

Access to Information

- Ensure separation of duties or maintain compensating internal controls for work done by the Agency.

Budget

- Provide financial information to support development of the Agency's biennial budget for entry into the Budget Planning and Analysis System (BPAS) or other more current system.
- Provide biennial budget narrative information and post to SharePoint website or other more current system.
- Analyze and provide any research necessary to respond to fiscal note requests and provide completed fiscal note responses to Admin for entry into the Fiscal Note Tracking system (FNTS) or other more current system.
- Determine annual budget plan once appropriated by the Legislature.
- Manage budgets, with assistance from Admin, to ensure that funds are allocated appropriately and not overspent.
- Determine budget plans for grant awards or other funding sources that may arise.

Daily Processes

- Provide Admin with all necessary documentation for any financial transaction to enable Admin to code transactions properly in the state's accounting and/or payroll/human resources systems to the correct accounting period and the correct expense or revenue account.
- Ensure that all receipts \$1,000 or more are deposited daily. Receipts under \$1,000 must be deposited within the month received and must be adequately safeguarded in a locked area until deposit. Agency will provide deposit information by 1 p.m. on the business day of deposit to facilitate transaction entry in the state's accounting/procurement system.
- In accordance with State policies and procedures, record receipts received each day in a receipts log, establish appropriate separation of duties with respect to handling of receipts, and monthly reconcile receipts information in the state's accounting/procurement system to the Agency's receipts log.
- Responsible for reconciliation of epayment receipts with SWIFT and the bank.
- Date-stamp all invoices and expense reports with the date received, and forward payment documents to Admin in a timely manner to enable compliance with statutory and policy prompt

payment requirements.

- Submit approved Authorization for Travel in Electronic Inter Office Requisition (EIOR) or more current system prior to any out-of-state travel to certify that sufficient budget funds are available, and the anticipated expenses are consistent with state travel policy and applicable bargaining agreements or compensation plans.
- Submit approved Special Expense forms in EIOR or more current system prior to incurring any expenses classified in applicable policies as "special expenses" to certify that the expenses meet the policy criteria.
- Submit completed employee or board/council/commission member travel expense reports supported by appropriate receipts, Authorization for Travel, Special Expense forms, and/or any other required documentation timely for prompt payment.
- Maintain records of all capital assets and sensitive items in accordance with State policies and procedures, and work with Admin's Surplus Services division to dispose of surplus property.
- Report to Admin any errors/discrepancies discovered relating to services performed by Admin under this agreement.
- Monitor any changes of board/council/commission/advisory committee members or their places of employment and determine each board/council/commission/advisory committee member's eligibility for per diems and expenses. Submit to Admin only eligible per diems and expenses.

Procurement and Contracts

- Monitor encumbrance balances on purchase orders regularly and request changes as needed to ensure they are sufficient to cover obligations.
- Request appropriate assistance from Admin's Office of State Procurement (OSP) and the Attorney General's Office (AG) on the development and approval of any professional/technical contracts, grant contracts, interagency agreements, annual plans, and other similar agreements.
- Attend training offered by OSP, as needed, on the topics of state procurement and contracting to understand applicable requirements and responsibilities.
- Provide copies of any 16A.15-16C.05 or Purchasing Violation forms to Admin as required by statewide purchasing and contracting policies, when applicable.

Reports

- Review and verify payroll reports and report any discrepancies to Admin. As part of this process, the Agency will document its review of the Payroll Posting Audit Trail as required by Admin's Verification of Payroll Posting Audit Trail Procedure.
- Review fiscal reports monthly from reporting package sent to Agency, including the Manager's Financial Report, expenditure, encumbrance, receipts reports, and salary reports to ensure the integrity of the Agency's fiscal data.

SWIFT

- SWIFT work processes may require various Agency employees to have system access for work processes including but not limited to electronic requisitions and approvals, asset management, contract solicitations and creation, and inquiries for access to information.

Other

- Follow statewide and Admin financial policies and procedures. The Agency can implement more restrictive policies and procedures.
- Follow Code of Conduct and Internal Control policies and procedures.
- Ensure that any business cell phone use complies with applicable state, Admin, and/or Agency policies and procedures. The Agency must retain an Acknowledgement of Receipt/Mobile Device Services and Equipment form completed by each employee to whom a cell phone is assigned.
- Assist Admin with information needed to complete fiscal year-end certifications.

**EXHIBIT E to Interagency Agreement between the
Department of Administration Financial Management and Reporting (Admin) and
Administrative Services Unit (Agency)**

Date 7/6/21 **Agency** MN Board of Dentistry - ASU

Agency Head Signature _____



Policy and Recommendations Regarding Separation of Duties

In accordance with state accounting policy, agencies shall separate the financial duties of their employees to provide appropriate control in the processing of transactions. In those instances where separation is not feasible, e.g., a small agency or board with limited employees, compensating controls such as independent review must be established.

The Agency should separate duties among employees to ensure that no one person has control over the entire order and payment approval process. For optimum internal control:


- The person(s) authorized to approve purchase requests should not also be authorized to approve payments and vice versa.
- If two persons are authorized to approve both purchases and payments, neither person should perform both functions for any one purchase/payment transaction. For any one purchase/payment, one person should approve the purchase, and the other should approve the payment.
- In the event that one person approves purchase requests and payments for the same purchase/payment transaction(s), the Agency must document and implement compensating controls such as independent review of detailed expenditure reports.
- If at any time the Agency cannot maintain optimum separation of duties, the Agency should document the circumstances preventing optimum separation, and identify the compensating controls that will be implemented.

Signatures of Staff Authorized to Approve Purchase Requests

PRIMARY:

Bridgett Anderson

Printed Name



Signature

BACKUP:

Debra Jahnke

Printed Name



Signature

Agency Innovative Office Supply PO Approver:

Debra Jahnke

Printed Name



Signature

Signatures of Staff Authorized to Approve Payments

PRIMARY:

Debra Jahnke

Printed Name



Signature

BACKUP:

Bridgett Anderson

Printed Name

Signature