JONATHAN LIPPMAN
Chief Administrative Judge

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Administrator

TO: All Holders of the Financial Planning and Control Manual

NEW ACCOUNTING PROCEDURES

BULLETIN NUMBER: 271	July 31, 2000
SUBJECT: Requesting Segregation (Funding) Interchanges	

Certificates of Segregation are an essential internal control mechanism which serve to ensure that State resources are allocated and expended in a manner which is consistent with legislative intent, as well as the goals and priorities of court system managers. Certificates of Segregation limit the amount of personal service (PS) and nonpersonal service (NPS) funding which is available for expenditure by each component (jurisdiction/program) of the Unified Court System, consistent with the applicable appropriation (budget) bill for that fiscal year.

Requests for the interchange of funds between UCS programs or between PS and NPS categories requested by UCS district/administrative offices must be reviewed by the appropriate UCS analyst-in-charge and require the advance approval of the Assistant Deputy Chief Administrator for Financial Management and the State Comptroller. In addition, such interchanges must be communicated to Legislative Fiscal Committee and Division of Budget staff.

Effective immediately, an e-mailed copy of the DFM-SEG1 (July, 2000 version) form which is appended to this bulletin constitutes the mechanism to be used by UCS district/administrative offices to request segregation interchanges. Request forms should be completed as follows:

1.   District/ Admin Unit Sequence No. - To aid in the identification of requests, it is suggested that each district / administrative unit maintain a sequential log of Segregation Interchange

Requests which are submitted to the Division of Financial Management - with each sequence number prefixed by your district code (e.g. the Third District would use 003-001, 003-002 and the Appellate Division, Third Department would use AO3-001, AO3-002, etc.).

2. District / Administrative Unit - Enter the jurisdiction or office submitting the request (e.g. Fifth Judicial District, or Appellate Division, Fourth Department).

3. Agency Code - Enter the five character agency code which identifies the jurisdiction submitting the request (e.g. 05XXX).

4. Page of - Identify the number of pages which comprise the request.

5. Major Purpose / MP Code - Identify the major purpose and major purpose code applicable to the funds to be interchanged, as follows:

Administration & General Support	900
Court of Appeals	901
Appellate Court Operations	904
Courts of Original Jurisdiction	905
Appellate Auxiliary Operations	906
Judiciary Wide MU	915
Lawyers' Fund for Client Protection	916
Aid to Localities - Court Facilities Incentive Aid	920
Capital Projects	922

6. Fund Code - Enter the appropriate three-digit fund code, as follows:

State Operations - General Fund	000
Federal Health & Human Svcs. - Family Court	265
Federal Health & Human Svcs. - Child Development	269
Federal Special Revenue (Drug Courts)	290
Lawyers' Fund for Client Protection	306
Misc. State Special Revenue (Attorney Licensing)	339
Court Facilities Incentive Aid Fund	340

NYC County Clerks' Operations Offset Fund	368
Judiciary Data Processing Offset Fund	369

7. Fiscal Year - Enter the fiscal year which identifies the funds to be interchanged (e.g. 2000-2001).

Transfer **FROM** (-): - Complete the following fields in order to properly identify the segregation(s) to be reduced:

8. District/Admin. Unit - Enter the appropriate District (e.g. Sixth District, Court of Appeals, etc.)

9. Program - Enter the Program funds to be reduced (e.g. Supreme and County Courts, Mental Hygiene Legal Service, etc.)

10. PS, NPS or MU - Enter in the appropriate column(s) the dollar amount (no cents) of each funding classification to be reduced. Carry-forward to the 'Total' column (WordPerfect versions of the form calculate automatically when the "Table Calculate" function is activated).

Transfer **TO** (+): - Complete the following fields to properly identify the segregation(s) to be increased:

11. District/Admin. Unit - Enter the appropriate District (e.g. Sixth District, Court of Appeals, etc.)

12. Program - Enter the Program funds to be increased (e.g. Supreme and County Courts, Mental Hygiene Legal Service, etc.)

13. PS, NPS or MU - Enter in the appropriate column(s) the dollar amount (no cents) of each funding classification to be increased. Carry-forward to the 'Total' column (WordPerfect versions of the form calculate automatically when the "Table Calculate" funtion is activated).

Note: The 'FROM' and 'TO' totals should balance under normal circumstances.

14. Purpose of Transfer - Within the space provided, explain succinctly the justification for this interchange.

15. Signature of Administrative Judge or Designee - Each Segregation Interchange Request form must be approved by an authorized representative of the district/administrative unit. For requests which are sent electronically via e-mail, it is only necessary to type in the name of the authorizing individual.
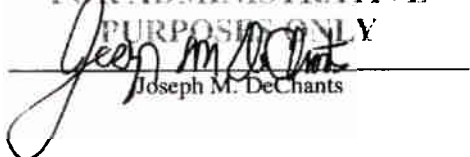
Note: All interchanges subsequently approved by the Division of Financial Management must be promptly distributed to the appropriate cost centers and subobjects by district/administrative unit staff, as prescribed in Part X / Chapter 6.000 of the UCS Financial Planning & Control Manual.

In addition to that which is being distributed with this bulletin, a WordPerfect (.wpd) version of the DFM-SEG1 form is also available on the Unified Court System's CourtNet homepage (http://10.1.8.24/). Once at the homepage, choose "OCA", then select "Budget", choose "Documents"and scroll down to the "Segregation Interchange Request" form option. Once you have downloaded a WordPerfect version of the DFM-SEG1 form, the most efficient (and preferred) method for communicating requests to this office is as follows:

♦ Make the appropriate entries into the WordPerfect form as indicated in the instructions provided herein.

♦ Save the file to a local drive using a new name. It is suggested that you use the District / Admin Unit Sequence No. as the new file name (e.g. 003_001.wpd)

♦ Send your request as an attachment to a GroupWise e-mail message addressed to **Budget Segregations** (i.e. the Division of Financial Management).

♦ Should you not have access to e-mail, requests may be faxed to the Division of Financial Management at (518) 474-3218.

Certificates of Segregation are typically processed <u>weekly</u> by the Division of Financial Management. Under normal circumstances, segregation interchange <u>requests received by the close of business on Wednesday which are ultimately approved will be available for expenditure by the close of business on Friday</u> of the same work week.

Please distribute this bulletin to all personnel within your respective jurisdictions who may be responsible for the processing of, or the monitoring of internal controls relating to, allocations and/or expenditures.

NYS UNIFIED COURT SYSTEM

FOR ADMINISTRATIVE

PURPOSE ONLY

_____
Joseph M. DeChants

UNIFIED COURT SYSTEM
SEGREGATION / INTERCHANGE REQUEST

District/Admin Unit Sequence No. _____

DISTRICT/ADMINISTRATIVE UNIT _____

AGENCY CODE   **PAGE**

MAJOR PURPOSE		M/P CODE	FUND CODE	FISCAL YEAR
				___ of ___

TRANSFER **FROM** (-) :		PS AMOUNT	NPS AMOUNT	MU AMOUNT	TOTAL
DISTRICT/ ADMIN. UNIT	PROGRAM				$0
DISTRICT/ ADMIN. UNIT	PROGRAM				$0
DISTRICT/ ADMIN. UNIT	PROGRAM				$0
DISTRICT/ ADMIN. UNIT	PROGRAM				$0
DISTRICT/ ADMIN. UNIT	PROGRAM				$0
				TOTAL	$0

TRANSFER **TO** (+) :		PS AMOUNT	NPS AMOUNT	MU AMOUNT	TOTAL
DISTRICT/ ADMIN.UNIT	PROGRAM				$0
DISTRICT/ ADMIN. UNIT	PROGRAM				$0
DISTRICT/ ADMIN. UNIT	PROGRAM				$0
DISTRICT/ ADMIN. UNIT	PROGRAM				$0
DISTRICT/ ADMIN. UNIT	PROGRAM				$0
				TOTAL	$0

PURPOSE OF TRANSFER:

THE REQUESTED SEGREGATION CAN BE ACCOMPLISHED WITHIN THE FUNDING ALLOCATIONS CURRENTLY AVAILABLE AND SUFFICIENT FUNDS ARE UNENCUMBERED TO ALLOW THIS TRANSACTION TO BE PROCESSED. THE DISTRICT/ADMINISTRATIVE OFFICE REQUESTING THIS TRANSFER ASSUMES RESPONSIBILITY FOR THE DISTRIBUTION OF THESE TRANSFERS TO THE APPROPRIATE COST CENTERS AND SUBOBJECTS IN THE UCS MAINFRAME ACCOUNTING SYSTEM (' ADMN') AS PRESCRIBED IN PART X / CHAPTER 6.000 OF THE UCS FINANCIAL PLANNING & CONTROL MANUAL.

FOR DFM USE ONLY:

_____   _____

SIGNATURE OF ADMINISTRATIVE JUDGE OR DESIGNEE   DATE