

Miami-Dade County Performance and Efficiency Commission

Miami-Dade County Department Director

2010 Self-Assessment Questionnaire

Purpose: As a management team member of Miami-Dade County government, it is your responsibility to design, adhere to and monitor the significant operating and financial controls of your organization. This self-assessment questionnaire has been designed to obtain input from you to assist the Performance and Efficiency Commission ("PEC") to understand the key controls of your organization. Your input is important and appreciated.

Department : Small Business Development

Director: (name & telephone) Penelope Townsley 305- 375-3134

1. Please describe **the key business objectives** of your area (i.e. What is the mission of your area?), and what do you find most challenging as the director of this department?

The key business objectives of Small Business Development (SBD) is to provide Miami-Dade County Small Business enterprises with the management tools and contracting opportunities necessary for growth, development and sustained industry success, while ensuring fair workforce compensation through Responsible and Living Wage programs.

The most challenging aspect of the Department is achieving small business programs "buy in" among larger more established firms

2. How many employees are in your department? Describe the **span of control** in your department and how effective it is?

Number of Employees: 36

Span of Control/Effectiveness: The span of control in SBD is 1 to 7 [1 Executive; 3 Division Directors and 1 Manager]. SBD consists of 3 Divisions performing varied tasks that are often ambiguous, complex and dynamic. The current span of control allows effective management interaction, communication and oversight.

3. Do you consider the responsibilities of your department to be "**core**" responsibilities of government to the public?

Yes. SBD's core responsibilities align with the County Strategic Plan Goals, specifically to:

- Allocate County government resources in support of activities that increase and diversify jobs and incomes while eliminating socio-economic disparities
- Lead the coordination of economic development activities throughout Miami-Dade County
- Create a more business-friendly environment in Miami-Dade County

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4. Are the *Policies and Procedures* in your department *documented*? (Select One) Yes No
Comments:

5. Are the *Policies and Procedures* in your department *up-to-date*? (Select One) Yes No
Comments: The FY 2010-2011 Budget approved operational changes requiring additional policies and procedures updates.

6. Please describe the *key business processes* that occur in your department (i.e. What are the activities which are completed in your department?)

1. Certification
2. Project Analysis and Goal Establishment
3. Contract Compliance and Monitoring

Additional key business processes are located in the SBD business plan FY 2010 and FY 2011 and the FY 2010-2011 Proposed Resource Allocation and Multi-Year Capital Plan (Volume 2, pages 343 to 349).

7. Please describe the *key internal controls* that you believe exist in your department (i.e. How do you control the major activities, output, etc., in your department?)

Policies and Procedures....

- Formalized and communicated to employees.

Separation of duties – Control the ability to commit and conceal irregularities

- Authorization and approval
- Verification
- Review of operating performance
- Physical control
- Reconciliation
- Training and guidance and monitoring

Periodic Reconciliations

- Purchase orders to billings,
- Journal entries to service requests
- Petty cash

Periodic Verifications

- Physical inventory of assets,
- Inventory petty cash
- Purchasing cards
- Receivables/Payables confirmations

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Analytical Reviews

- Financial data
- Contract Award data
- Contract Payment data

Systems Reviews

- Business & Data systems integrity and continuity controls
- Physical safeguard and access restriction controls
- Planning and budgeting process

8. Please describe *the key performance measures* you obtain and utilize to monitor the effectiveness/efficiency of your business processes.

Certified small businesses provided bonding technical assistance
Certified small businesses obtaining first time bonding
Certified small businesses assisted with small business loan applications
Certified small businesses obtaining small business loans
Number of Certified small businesses
Number of Small Business Graduates
Number of New Certified small Businesses
Number of Certified Small Businesses Retained
Value of projects reviewed (total \$ value of projects)
Value of approved goals (total \$ value of all goals)
Percent of County expenditures assigned for certified small businesses
Number of monitored firms in compliance with small business goals and wage requirements

9. Which department(s) do you currently communicate with? Does any of these department(s) in Miami-Dade County government have similar functions/responsibilities?

SBD interacts with all County departments - None have similar functions/responsibilities.

a. Could they be consolidated into your department? No

b. Are there any areas that you would like the PEC to specifically review (i.e. areas of immediate control concern or inefficient process)?

No. A Performance and Process Analysis was conducted for FY 2010-2011 implementation.

10. If you had the appropriate technology to improve efficiency, would you utilize it and how would it impact the County's operations today?

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Yes, Phase 1 of technology initiative to establish a County vendor portal to establish on-line certification and vendor registration would assist greatly with the “one stop” shop for vendors.

Overall, how would you rate the following in your department?	<u>Poor</u>		<u>Average</u>		<u>Excellent</u>
The effectiveness of your internal controls	1	2	3	4	5
The quality of your output	1	2	3	4	5
The efficiency of your business processes	1	2	3	4	5

If there is any additional information you feel the PEC should have prior to our review, (such as organizational charts, policies, etc.), please attach to this questionnaire.

Please return this questionnaire and any attachments in pdf format and saved as your “department name” by Wednesday, October 13, 2010 to spalmer@miamidade.gov or deliver to:

Office of the Commission Auditor
Attn: S. Donna Palmer
SPCC Government Center
111 NW First St., Ste. 1030
Miami, FL 33128

Thank you for your time.