

# DEPARTMENT OF HEALTH SERVICES

COUNTY OF LOS ANGELES



SUBJECT: CONTRACT/GRANT STAFFING ROSTER  
PROCEDURES

POLICY NO. 505

PURPOSE: To establish uniform procedures to ensure Staffing Rosters properly reflect the status of grant/contract funded positions.

SCOPE: Public Health has overall processing, coordinating, reporting and monitoring responsibility for DHS grant funded projects. Public Health policy and procedures for grant funded projects are to be followed by all departmental budget units. Departmental budget units are each required to determine the corresponding sections to perform grant maintenance support responsibility as described below.

PROCEDURE:

I. NEW GRANT POSITIONS (New grant/contract applications)

A. Program Office Responsibilities

1. Prepare a program narrative and budget proposal to complete the grant/contract application.
2. Prepare a memorandum to the Public Health Human Resources (PH-HR) Manager requesting review of the proposed classification(s) with a copy of the duty statements and organizational chart prior to submitting the grant application to the granting agency.
3. Submit the grant application to the granting agency after 4 weeks, even if PH-HR has not responded to the request.
4. Follow-up with PH-HR, in writing, with a copy to Grant Monitoring Section, if PH-HR has not responded to the request by the time the granting agency has approved the application.
5. Proceed with hiring the staff after approval by PH-HR.

B. PH-HR Responsibilities

1. Review the proposed staffing request and make a determination to allocate appropriate position levels for the new grant/contract.

EFFECTIVE DATE: June 1, 2000

SUPERSEDES:

APPROVED: \_\_\_\_\_

PAGE 1 OF 6

2. Respond to the Program Office, within 4 weeks (with a copy to Grant Monitoring Section) to verify funding availability.

C. Grant Monitoring Section Responsibilities

1. Upon approval by the granting agency and PH-HR, prepare the Staffing Roster for the allocated positions.
2. Submit the Staffing Roster to PH-HR and the Program Office.

II. PERSONNEL CHANGES TO EXISTING GRANTS/CONTRACTS (New position(s) added to the program during grant/contract renewal or budget modification process)

It is the Program Manager's responsibility to obtain assurances that changes to the positions have the support of the granting agency.

A. Program Office Responsibility

1. Prepare a memo to the PH-HR Manager to request a review of the proposed classification(s) with a copy of duty statements and organizational chart before submitting the grant/contract position/budget modification to the granting agency.
2. Submit modification request to the granting agency 4 weeks after submitting the request to PH-HR, even if PH-HR has not responded.
3. Follow-up with PH-HR in writing, with a copy to Grant Monitoring Section, if PH-HR has not responded to the request by the time the modification request has been approved by the granting agency.
4. Proceed with hiring positions approved and listed on the Staffing Roster.

B. PH-HR Responsibilities

1. Receive and review proposed staffing request and make a determination to allocate appropriate position(s).
2. Respond to the Program Office within 4 weeks of receiving the request (copy to Grant Monitoring Section).
3. Update the Staffing Roster based on information provided by Grant Monitoring Section.

C. Grant Monitoring Section Responsibilities

1. Prepare Staffing Roster upon approval of grant modification by granting agency and allocation of positions by PH-HR.
-

2. Forward the Staffing Roster to PH-HR and the Program Office.

III. FREEZING/UNFREEZING OF GRANT POSITIONS ON STAFFING ROSTER

The Program Office must notify PH-HR, in writing, with a copy to Grant Monitoring Section to freeze or unfreeze position(s) on the Staffing Roster (Exhibit 1). Grant Monitoring Section shall update the Staffing Roster and submit it to PH-HR to reflect the **change(s)**. PH-HR shall update their roster.

IV. ELIMINATING/DEFUNDING POSITIONS

Eliminating/defunding filled positions

A. Program Office Responsibilities

1. Attempt to locate vacant funded position(s) in another program to place affected employee(s).
2. Notify PH-HR, in writing, 3 months in advance (with a copy to Grant Monitoring Section) if the position(s) to be eliminated/defunded **is/are** filled requesting them to find vacant funded position(s) in another program to place employee(s). (Exhibit 2)

B. Grant Monitoring Section Responsibility

1. Upon receiving written communication from the Program Office, create footnote in the Staffing Roster for the eliminated/defunded position identifying the date the funding is to be discontinued.
2. Update the Staffing Roster for the position change(s) as notified by PH-HR and after the employee(s) is/are officially transferred to another program.

C. PH-HR Responsibilities

1. Locate and place employee(s) on vacant position(s).
2. Notify Grant Monitoring Section when position(s) can **be** removed from the Staffing Roster. (Exhibit 3)

Eliminating/defunding vacant positions

The Program Office will notify Grant Monitoring Section in writing (with a copy to PH-HR) to remove the position(s) from the Staffing Roster. Grant Monitoring Section shall update the Staffing Roster and submit it to PH-HR to replace the existing Staffing Roster.

## V. RECLASSIFICATION OF EXISTING GRANT POSITIONS

A position reclassification occurs when there is a request to change an existing position. Generally the position being reclassified is filled by an employee who is expected to be placed against the new position.

A. Program Office Responsibilities

1. Submit a position reclassification review request to PH-HR. The request must include an organization chart (eliminating the old position and identifying the new position) and duty statement.
2. Follow-up with PH-HR in writing (with a copy to Grant Monitoring Section) until levels have been allocated.
3. Upon approval by PH-HR, contact the granting agency, in writing, to obtain approval for reclassification of the position.
4. Upon approval by the granting agency, proceed to hire positions listed on the Staffing Roster.

B. Grant Monitoring Section Responsibilities

1. Update the Staffing Roster to reflect the positions allocated by PH-HR.
2. Forward the Staffing Roster to PH-HR and the Program Office.

C. PH-HR Responsibilities

1. Receive the request for reclassification review from the Program Office.
2. Review the classification and make a determination to approve or deny the request.
3. Notify Grant Monitoring Section and the Program Office regarding the approval status of the request.

## VI. ROUTINE MONITORING AND UPDATING OF STAFFING ROSTERS

A. Grant Monitoring Section Responsibilities

1. Provide the Program Office with a copy of the Staffing Roster on a monthly basis along with the Grant Expenditure Report.

2. Review changes requested by the Program Office and note appropriate changes on the Staffing Roster.

NOTE: However, only the following changes will result in an update of the Staffing Roster:

- A newly hired employee appears on Payroll Report #4 under the grant/contract cost center (In this instance, PH-HR should already have this change reflected on their Staffing Roster since this transaction had to go through PH-HR).
- The Program Office informs Grant Monitoring Section that a particular position will be frozen or defunded. See previous Sections III (Freezing/Unfreezing of Grant Positions) and IV (Eliminating/Defunding Positions).
- An existing employee has a termination date and that employee's salary no longer appears on Payroll Report #4 under the grant/contract cost center. (In this instance, PH-HR should already have this change reflected on their Staffing Roster since this transaction had to go through PH-HR).
- In cases where an employee appears on Payroll Report #4 in a grant/contract cost center and that employee is not listed on the Staffing Roster, Grant Monitoring Section shall contact PH-HR for resolution. Based on PH-HR's findings, the appropriate action shall be taken to remedy the situation, and the Staffing Roster shall be updated as necessary.

B Program Office Responsibilities

1. Verify accuracy of the Staffing Roster, note any corrections, indicate employee termination and anticipated hiring dates.
2. Return the Staffing Roster to Grant Monitoring Section by the date specified.

VII. MONTHLY PH-HR AND Grant Monitoring Section MEETING

- A. Grant Monitoring Section and PH-HR shall meet monthly to reconcile the Staffing Roster (Exhibit 4). They will meet to clarify issues such as: hiring dates, termination dates, defunding positions, and status of grant funding.

- B. Differences noted by Grant Monitoring Section will be discussed with PH-HR to obtain resolution. If differences cannot be resolved, Grant Monitoring Section will contact the Program Office for assistance.
- C. Once the differences are resolved, corrections will be made to either Grant Monitoring Section or PH-HR's Staffing Roster to ensure both contain the same information.

**CROSS REFERENCE TABLE**

<u>PH</u>	<u>OAPP</u>	<u>PHS/HSA/OMC</u>
Program Manager	Contract Manager	(To be designated)
Program Office	Contracts & Grants	(To be designated)
Grant Monitoring Section	Finance	(To be designated)
DHS Contracts and Grants Division	Contracts & Grants	DHS Contracts and Grants Division
PH Finance Section	Finance	(To be designated)

[DATE]

TO: Grant Monitoring Section

FROM: [Program Manager]

SUBJECT: **FREEZING/UNFREEZING OF POSITIONS**  
**[NAME OF GRANT/CONTRACT]**

Please freeze/unfreeze (choose one) the following position(s) from the Staffing Roster

POSITION  
CONTROL  
NUMBER

ALLOCATED POSITION

EMPLOYEE NAME/NUMBER

15

Senior Typist Clerk

John Clerk/1222 16

Freezing/Unfreezing of position(s) is due to \_\_\_\_\_

\_\_\_\_\_

If you have any questions or need additional information, please contact me at [TELEPHONE NO.].

XX:xx

c: Human Resources Manager

[DATE]

TO: Human Resources Manager  
FROM: PROGRAM MANAGER]  
SUBJECT: **GRANT POSITION PERSONNEL CHANGE - FILLED POSITION**

Recently, we received notification that the staffing plan for "Best Grant" is being changed and position(s) are being eliminated/defunded.

Please be informed that the following eliminated/defunded positions are filled and your office needs to identify another work location for these employees:

<u>POSITION CONTROL NUMBER</u>	<u>ALLOCATED POSITION</u>	<u>EMPLOYEE NAME/NUMBER</u>
10	Assist. Staff Analyst, H.S.	Jim Number/125867
24	Intermediate Clerk	Joe Typist/124589

Funding for the above positions will be discontinued on July 1, 1997. However, these employees should be placed in another program as soon as possible. Please notify my office when the position(s) become vacant so the Staffing Roster can be updated.

If you have any questions or need additional information, please contact me at [TELEPHONE NO.].

XX:xx

c: Grant Monitoring Section



[DATE]

TO: Grant Monitoring Section

FROM: Human Resources Manager

SUBJECT: **GRANT POSITION ALLOCATION CHANGE - FILLED POSITION**

This is to inform you that the positions listed below for "Best Grant" are now vacant. These positions were scheduled to be eliminated/defunded on July 1, 1997. The employees occupying them have been relocated or have found other employment.

POSITION  
CONTROL

<u>NUMBER</u>	<u>ALLOCATED POSITION</u>	<u>EMPLOYEE TERMTNATION DATE</u>
10	Assist. Staff Analyst, H.S.	June 15, 1997
24	Intermediate Clerk	June 30, 1997

Financial Management should officially eliminate these positions from the current Staffing Roster and send a copy of the update to my office.

If you have any questions or need additional information, please let me know.

XX:xx

c: PROGRAM MANAGER]

### STAFFING ROSTER INFORMATION

The revised Grant/Contract Staffing Roster has been revised to include the following information:

#### Position Control Number (Column 1)

This column has been added to assign a control number to each grant funded (50% or more) position in the contract grant. The position control number will be increased by the value number designated in Column 2. In addition, the following position classification items will not be assigned a position control number.

- Student Professional Workers
- Temporary Employees

#### Number of Positions Filled (Column 2)

This column reflects the value assigned to the position based on information contained in Column 8. The value assigned to positions are based on the following criteria:

<u>% of Time</u>	<u>Value</u>
70% or more	1
50% to 69%	.5
1% to 49%	0

#### Budget Item Title (Column 3)

This column lists positions funded by the contract grant. It also includes positions funded at less than 50% as well as Student Professional Workers and temporary employees.

#### Budget Item No. (Column 4)

This column reflects the 4 digit item number and sub-letter of the budgeted position in the contract grant.

#### Employee No. (Column 5)

This column reflects the employee number of the person assigned to the budgeted item.

Employee Name (Column 6)

This column includes the name of the incumbent until the person terminates/leaves, at this time “vacant” shall be placed next to the name until a new person is hired.

Employee Item No. (Column 7)

This column reflects the actual item number and sub-letter of the employee

% of Time (Column 8)

This column reflects the percentage of time a budgeted item is funded by the contract/grant.

Projected Date-Hiring/Termination (Columns 9 & 10)

Columns 9 and 10 reflect the date of hire or termination of employee for the budgeted item. Once the employee appears under the contract/grant fund/organization number in Payroll Report #4, the dates will be removed. The termination date will remain until the position is filled or removed.

Fund/Organization No. (Column 11)

This column reflects the fund/organization numbers of employees that are different from the contract/grant.

Status Code (Column 12)

PH-HR assigns the following status code(s) in this column to indicate the hiring status of the budgeted position. This column will remain blank if none of the actions described below have taken place:

<u>Code</u>	<u>Description</u>
(A)	Personnel Action Request (3 18) received.
(B)	Personnel Action Request (3 18) sent for approval.
(C)	Approval received.
(D)	When position is frozen, “frozen” shall be reflected in this column.

STAFFING ROSTER

FOR THE PERIOD ENDING OCTOBER 25, 1996

PROJECT AIDS PROGRAM  
King Drew EPP + Block Grant \*Anonymous Test Sites

TO MILENA RADA  
HUMAN RESOURCES

BUDGET CODE

07-30-00-00-00

GRANT PERIOD

FROM AIDS PROGRAM

FUND/ORG NO.

PHONE NO (213) 351-8134

HMMS CODE

SSU CODE

SUBJECT PROJECT STAFFING STATUS FOR THE PERIOD OF

OCTOBER 1, 1996-OCTOBER 31, 1996

(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)
SP	CNTRL	OF POS	BUDGETED	EMPLOYEES	EMPLOYEE	EMPLOYEE	% OF	PROJECTED DATE	FUND/ORG	REQ	TATUS	
NO	NO	FILLED	ITEM	NO	NO	NAME	TIME	HIRING	NO*	INO	CODE	
			TITLE					TERMINATIO				
			<b>STATE ANONYMOUS TESTING SERVICES: 7/1/95-6/30/96</b>									
		1	SENIOR TYPIST CLERK	2216N	277341	Chao, Mary	4977N	100%				
		1	INTERMEDIATE TYPIST CLERK	2214N	226827	Mc Donald, Kim	1138N	100%				
+		3	PHLEBOTOMY TECH I	4877N	405127	Lee, Bertha	4977N	100%				
			<b>STATE BLOCK GRANT: 7/1/95-6/30/96</b>									
+		4	HEALTH EDUCATOR	4848N	416038	Garcia, Ignacio	4848N	100%				
+		5	HMLTH EDUCATION ASSISTA	4846N	241486	Williams, Juditha	4846N	100%				
+		6	PROGRAM SPECIALIST, PHN	5237A	248288	Wilson, Martha	0978N	100%				
		7	WORD PROCESSOR II	2235N	205741	Mitchell, Linda	2235N	100%				
+		8	PUBLIC HEALTH NURSE	5230N	131468	Wallace, Anita	5730N	100%				
+		9	SECRETARY II	2095N	161467	Bryant, Lorena	2095N	100%				
+		10	SENIOR DEPTL PERSONNEL T	1849N	034248	Wong, Cathy	1845N	100%				
+		11	STAFF ANALYST, HEALTH	4593N	154445	Knight, Oavida	4593N	100%				
+		12	PHYSICIAN SPECIALIST, MD	5477N	267817	Lester, William	5477N	100%				
12		12										

\* If employee is listed under a fund/org no that is different from the grant/contract  
 \*\* Per Program Office, this individual will be allocated to this project for 6 months and allocated to the Long Term Impact Project for the remaining 6 months of the grant year  
 + If position is listed in the County budget Spreadsheets (Sp)  
 STATUS CODE KEY  
 A= Personnel Action Request received (318s)  
 a= Exempt Form sent for approval  
 C= Approval received

Noted and Approved \_\_\_\_\_ Date  
 Program Manager