

Resolution 53-09

To Amend Policy 881 to Include Supporting Documentation With Budgetary Proposals – Capital Improvement Projects

WHEREAS, Policy 881, *Staffing Budget Planning and Position Administration*, requires departments to submit proposed departmental budgets, but the policy is silent with respect to the submission of information that would substantiate those proposed departmental budgets and that would allow the County Board of Supervisors, the Finance Committee and respective governing committees to make informed and reasonable decisions in the approval process of the county budget.

NOW, THEREFORE, BE IT RESOLVED that the Polk County Board of Supervisors amends in pertinent part Policy 881, pages 881-6 and 7, Step 6, as follows:

6. Department Heads and Governing Committees review the Personnel Committee staffing recommendations and Finance Committee budgetary guidelines. Department Heads develop budgets with Governing Boards/Committees and revisit staffing plans. Proposed departmental budgets shall include supporting documentation when submitted to the governing committees. Supporting budgetary documentation shall include, at a minimum, a position paper on proposed capital improvements projects that addresses the need to immediately initiate the project; a cost-benefit analysis of delaying the project; and the advantages and disadvantages of commencing the project immediately in contrast to delaying the project to future budget years. Updates to staffing plans are submitted to Employee Relations and initial budgets with such supporting documentation are submitted to the Department of Administration and distributed to the Finance Committee and to the County Board of Supervisors.”

BE IT FURTHER RESOLVED that Policy 881 is not otherwise amended.

Date Finance Committee Advised; Not Applicable
Finance Committee Recommendation: Not Applicable
Effective Date: Upon Passage

Approved as to form: Jeffrey B. Fuge
Jeffrey B. Fuge, Corporation Counsel

Dated Submitted to County Board: July 21, 2009

County Board Action: Adopted by unanimous voice vote

Herschel Brown
Herschel Brown

This Resolution was enacted by the Polk County Board of Supervisors by a vote of _____ for and _____ against on the _____ day of July 2009.

Bryan Beseler, Polk County Board Chairperson

Dated: _____

Attest: _____ Dated: _____
Carole Wondra, County Clerk

Polk County Wisconsin

STAFFING, BUDGET PLANNING AND POSITION ADMINISTRATION

Policy 881

Effective Date: 02-18-93

Rev. Date: 06-15-04, 6-20-06, 6/19/07,3-11-08, 07-21-09

Purpose

Staff planning is intended to manage the allocation of positions to County departments in a way that maximizes efficient and economical utilization of staff resources in accordance with Polk County plans and guidance. Position administration requires that except in unusual circumstances, decisions to allocate additional positions (including temporary and part time) occur as part of the annual budgeting process. It provides standard definitions and a common language for personnel actions, budgeting, and planning. It is the responsibility of the Personnel Committee and Department of Administration to administer the authorized positions, ensuring that employees receive the proper pay and benefits as determined by the status of the position. All positions, once established, adhere to the governing policies of the County.

Funding

Funding for each department's Personnel costs will be determined by the Finance Committee and approved as part of the annual budget process. Funds allocated for salary expenses may not be utilized for operational or capital improvement items unless otherwise authorized in accordance with Policy 310 – Budget Overruns Policy.

Definition of Types of Positions and Procedure for Authorization:

Polk County has two major categories of positions: non-limited and limited. Non-limited positions are County Board-approved and have no definite ending date. Limited positions are appointments to normally fulfill a specific assignment with a defined ending date.

Non-Limited Positions:

Full-Time - positions designed for a full workweek as defined by labor contract, personnel policy, or other appropriate controlling document (such as County Board resolution, contract with outside agency, etc.).

Part-Time - positions designed to work hours less than a full work week as defined by labor contract, personnel policy, or other appropriate controlling document (such as County Board resolution, contract with outside agency, etc.). Part time positions are divided into three (3) sub-classifications:

1. Regular Part-Time- positions scheduled to work 1020 hours or more per year.
2. Limited Part-Time - positions scheduled to work less than 1020 hours per year.
3. Casual - positions that have an irregular or variable number of hours per year, depending on departmental need, but which are established on a permanent

basis by County Board resolution. There is generally no set schedule or guaranteed number of hours. Most of these positions are established for "on-call" or "fill in" purposes. These positions cannot exceed 600 hours in a 12-month period. These positions will work a flexible schedule which alternately may begin, cease, and begin again as the needs of the County require.

Restrictions on Part Time Non-Limited Positions

Established part-time positions are limited to the number of hours per week initially approved by the County Board. These positions will also be monitored by the Department of Administration. On-going discrepancies between the approved number of hours and actual hours worked will be brought to the attention of the Department Head and supervising committee. Department Heads who want to increase hours for a part-time position must follow the approved procedures outlined in this section. Except in unusual circumstances, these requests shall occur as part of the annual budget development process, and not at other times throughout the year. Some circumstances may result in requests for additional staffing at any time during the year. The approval process must follow the guidelines set forth in this policy.

In cases of extreme emergency, Department Heads shall have the authority to expand the weekly hours of a part time position for up to ninety (90) days, provided such action is reported as soon as possible to the governing committee, the Personnel Committee, and the Employee Relations Director. . Governing committees shall have the authority to approve expanded hours for part time employees for an additional forty-five (45) days after gaining approval from the Employee Relations Director.

Limited Positions:

Limited positions are generally divided into two (2) categories: those which are limited by the availability of outside funding sources, that are primarily short term grants in duration, and those which are limited by the type and scope of work to be performed.

Outside of the annual staffing/budget process, only the Employee Relations Director or designee may authorize limited positions when applicable by policy. Department Heads may authorize emergency hire situations in the absence of the Employee Relations Director with a notice to the Employee Relations Director as soon as possible or within 72 hours whichever is less, at which time the requisite hiring procedures will be conducted.

Limited positions cannot be used to camouflage positions that would otherwise require approval by the County Board. Limited employees do not participate in the County's benefits program except as provided for elsewhere in the County's personnel policy or collective bargaining agreements, or as required by law. The number of hours worked may be either full-time or part-time.

Limited positions are designed to serve four major purposes:

- 1) Fill positions that are temporarily vacated by non-limited employees (full or part-time).

- 2) Provide assistance to departments experiencing temporary increases in workload.
- 3) Fill a full or part-time position for a limited period of time as part of yearly and/or seasonal program or activity.
- 4) Enable county participation in an activity for which an outside funding source is available.

Limited positions are categorized as temporary, seasonal, emergency, funding limited or variable as defined below:

Temporary An appointment for a specific period of time not to exceed 2080 hours in any 12 month period (including extensions) for any one department. Department Heads anticipating temporary help needs should include the appropriate line items when submitting their annual budget. When outside of the annual staffing/budget process, supporting material from the Department Head and supervising committee should be submitted to the Employee Relations Director to gain authorization before the final decision to approve the position. It is the responsibility of the Department Head to ensure that expenditures for temporary help do not cause the department to exceed their budget.

Seasonal An appointment to a position on a limited basis to fulfill a specific assignment of a recurring, well-defined nature, not to exceed six (6) months in any twelve (12) month period. Seasonal positions must be approved as part of the annual budget process. Department Heads anticipating seasonal help needs should include the appropriate line items when submitting their annual budget. Supporting material from the Department Head and supervising committee should be submitted to the Employee Relations Director. Departments should follow the same guidelines and timetable for approval as those for non-limited positions. It is the responsibility of the Department Head to ensure that expenditures for seasonal help do not exceed the budgeted dollar amount.

Emergency An appointment to meet staffing needs of an unforeseen or critical nature. Department Heads may establish emergency positions with the concurrence of the Employee Relations Director for a period not to exceed ninety (90) calendar days, provided such action is reported to the governing committee and the Personnel Committee during their next meetings. Governing Committees may extend the positions an additional forty-five (45) calendar days after gaining authorization from the Employee Relations Director. The Personnel Committee must approve any extension of the position beyond this time limit. Governing Committees will gain the approval of the Finance Committee when the Department's budget is not adequately funded.

Funding-Limited Positions approved by the County Board which are funded through

sources (e.g. grants) which have a time limit that must be monitored by the department head.

The procedures for establishing this type of position shall be identical to those set forth for non-limited positions and when possible shall follow the same time lines as with the exception that the process may begin and end at any time during the year which is appropriate to the circumstances. In addition, these time lines may be shortened when necessary to meet the requirements of a particular funding grant. Whenever possible, this will occur as part of the annual budgeting process.

In the event that a grant imposed deadline for establishment of such a position occurs outside the annual staffing plan process, the department's governing committee and the Personnel and Finance Committees shall have the authority to approve the position.

Unless subsequently authorized by the procedures outlined in this policy, these positions will end when the outside funding ends. In some cases the department may want to seek County Board approval for continued existence of the position. In these cases, the department head shall seek approval for continued County funding of the position as part of the annual budget development process in the year preceding the year in which outside funding will be either eliminated or reduced. This approval shall be obtained utilizing the procedures outlined in this policy for establishing new non-limited positions.

Variable (Sheriff's Dept only) – Positions without a defined ending date, which have an irregular or variable number of hours per year, depending on department needs. There is generally no set schedule or guaranteed number of hours. Most of these positions are established for on call or "fill in" purposes. The positions will work a flexible schedule which alternately may begin, cease, and begin again as the needs of the department require. Variable positions shall normally be approved as part of the annual budget process. Outside of the annual staffing/budget process the Employee Relations Director may approve additional positions on a temporary basis and for good cause as provided by the Sheriff. Consistent with this policy the Sheriff may, for emergency reasons, hire employees when the Employee Relations Director is not available for approval. The Employee Relations Director shall be notified within 72 hours or the first business day, whichever is less.

Redefinition of a Limited Position to a Non-limited Position

In order for a limited position to be reallocated as a non-limited position, the approval procedures as outlined for establishing a non-limited position must be followed. These requests shall occur as part of the position administration process, and not at other times throughout the year.

Fee Reimbursement Funded Positions

The Department Heads will identify fee reimbursed positions on their organizational chart when submitted to the DOA. The Personnel Committee may provide for the designation of a certain position as Fee Reimbursement Funded Positions, the establishment of which shall be exempt from the provisions of this policy. The Personnel Committee shall be responsible for identifying and approving the types of positions that qualify for this exemption. Department Heads may adjust the number of these positions and hours of patient care staff as needed, as long as the adjustments reflect actual changes in client caseloads, resident census, and/or other relevant criteria. This includes any reclassification of positions from limited part-time to regular-part time or full time status. Department Heads shall report to their governing committees on a quarterly basis as to the number of such positions that exist in each department and the number of hours established for each position. The Personnel Committee may at its discretion provide for minimum and maximum staffing ratios for such positions, which shall govern the establishment and reduction of such positions. The Finance Committee must first approve any positions created or expanded under this section that have a fiscal impact on the County.

Reorganization, Absorption, or Merger of County Departments

The supervising committee(s) and the Personnel Committee with the assistance of the ER Director, prior to implementation must approve all proposed re-organizations, position reclassification or mergers. Revised position descriptions for all affected positions must be submitted to the Employee Relations Office for approval. The County Board must approve reorganizations and mergers affecting more than one department.

Procedure for Annual Staffing Plan and Budget Process

Each year as part of the annual staffing process, and then leading into the budgeting process, departments will prepare a staffing plan for the next fiscal year. This staffing plan shall include an organizational chart identifying units and positions within the department highlighting positions that are proposed as new or planned for elimination in the ensuing fiscal year.

By the first business day in June, the Department of Administration and Employee Relations Department will develop and distribute the staffing and budget-planning calendar. Prior to commencement of the process, preliminary salary and benefit information will also be distributed.

Step	Action	
1	The Executive Committee shall meet by June 15, commencing in 2008, to issue staffing and programming guidance that may consist of, but not limited to the following: <ul style="list-style-type: none">1. Consideration of programming and service priorities for future staffing/budget plans.2. Feasibility and/or amount of increased revenues (Fees/rates).3. Feasibility and potential costs of new services.4. Recommendations on increased or decreasing revenue sources.5. Consideration of allowing services to be provided by	

	<p>private industries within Polk County.</p> <p>6. Consideration of outsourcing specific services.</p> <p>7. Consolidation of services and efforts between departments.</p> <p>Department Heads, Governing Committees, Finance and Personnel Committees will utilize this guidance in preparing their budgets and planning for staffing in their analysis and justification for the next fiscal year.</p>	
2	<p>Each Department Head shall develop a staffing plan for their department. This plan shall be completed using Policy 881 Appendix Forms and include a copy of the department's proposed organizational chart; any proposed new positions or those planned for elimination, and a cost analysis for the department. The cost analysis shall detail wages and benefits to the department per unit, reflective of existing staffing structure, as well as detailed cost analysis of wages and benefits for new position requests, increase in hours of existing positions, proposed position eliminations, or any other applicable staffing changes as provided for within this policy. Requests for new positions/increase in hours of existing positions must address specific rationale as to why each new position is required versus alternative methods of meeting demands for service.</p>	
3	<p>The supervising committee reviews, amends and approves the department staffing plans and submits approved staffing plans to Employee Relations.</p>	
4	<p>The Employee Relations Director examines each plan and presents all staffing plans to the Personnel and Finance Committees. Utilizing guidance from the Executive Committee, the Committees jointly review the staffing plans with the Department Heads and their committee representative(s). The Personnel Committee recommends staffing needs to the Finance Committee and furnishes the same to each department and appropriate committee.</p>	
5	<p>The Personnel Committee provides direction regarding health insurance premiums for the next fiscal year. The Finance Committee provides budgetary guidelines to the departments.</p>	
6	<p>Department Heads and Governing Committees review the Personnel Committee staffing recommendations and Finance Committee budgetary guidelines. Department Heads develop budgets with Governing Boards/Committees and revisit staffing plans. <u>Proposed departmental budgets shall include supporting documentation when submitted to the governing</u></p>	

6	Department Heads and Governing Committees review the Personnel Committee staffing recommendations and Finance Committee budgetary guidelines. Department Heads develop budgets with Governing Boards/Committees and revisit staffing plans. <u>Proposed departmental budgets shall include supporting documentation when submitted to the governing committees. Supporting budgetary documentation shall include, at a minimum, a position paper on proposed capital improvements projects that addresses the need to immediately initiate the project; a cost-benefit analysis of delaying the project; and the advantages and disadvantages of commencing the project immediately in contrast to delaying the project to future budget years.</u> Updates to staffing plans are submitted to <u>Employee Relations</u> and initial budgets <u>with such supporting documentation</u> are submitted to the Department of Administration and distributed to the Finance Committee and to the County Board of Supervisors.”	
7	Personnel Committee reviews updates/changes to departmental staffing plans and issues final staffing recommendations to the Finance Committee.	
8	Department Heads, along with their governing board/committee representatives, present budgets to the Finance Committee and Finance provides final recommendations to the departments	
9	Departments review final recommendations with governing boards/committees and notify the Department of Administration of intent to appeal staffing and budget recommendations	
10	The Personnel and Finance Committees consider staffing and budget appeals and make final recommendations	
October County Board Meeting	The Personnel Committee presents a summary of recommended staffing plans for justification and approval to the full County Board. The Finance Committee provides formal recommendation for Public Notice and Draft copy of the budget to County Board.	
November County Board Meeting	County Board adoption of the annual budget.	

New position requirements outside of the normal budget process will adhere to the following process when the new requirement becomes known:

- A. Department Heads submit to governing committees and Employee Relations.
- B. Personnel and Finance Committees review in that order.

Polk County Staffing Analysis
(Add additional sheets as necessary)

Department:	
Division or Unit:	
Program:	
Program or service description and statutory citation if mandated:	
Services Provided:	
Target Group, Eligibility, and number of citizens served:	
Current Staffing:	
New Staffing Requests:	
Current Year Personnel Budget	
Projected Personnel Budget (with and without new staffing requests/reduction in staffing)	
Funding Sources (% by source)	
Current and/or future policy issues	

Prepared by: _____ Title: _____

Date: _____

NEW POSITION/POSITION STATUS CHANGE REQUEST

Position Title _____

Department _____ Account Number _____

New Non-Limited Position

Increase hours of established position – From _____ FTE to _____ FTE

Intern/Fee Reimbursement Funded/Limited Position

Total Wage and Fringes _____

Additional Requirements (Desk, Computer, File etc) _____

TOTAL COST _____

Less Outside Funding (Grants, Fees, etc. if any) _____

*Note this is **additional** funding over and above what has already been applied to the current year's budget.

NET COST TO TAX LEVY _____

Department Head Signature _____ Date _____

----- *To be completed by Committees* -----

Personnel Committee Comments _____

Finance Committee Comments _____

Effective Date of Change: _____

Additional Funding Authorized by Finance Committee: _____

