

## **Division of Public Health Administrative Manual**

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<b>Chapter:</b>	<b>General Administration</b>
<b>Title:</b>	<b>Management of DPH Policies and Procedures</b>
<b>Current Effective Date:</b>	<b>9/3/14</b>
<b>Revision History:</b>	<b>4</b>
<b>Original Effective Date:</b>	<b>9/13/04</b>

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### **PURPOSE**

The purpose of this document is to establish policies and procedures for the administrative functions within the Division of Public Health (DPH). These policies and procedures are consistent with Office of State Budget & Management (OSBM) and Department of Health and Human Services (DHHS) policies and procedures. Administrative functions include those activities which incorporate financial management operations and the support and coordination to enable program management to carry out the program and service goals of the Division.

### **The DPH Administrative Manual**

The Administrative, Local and Community Support Section (ALCS) is responsible for:

1. Establishing and maintaining administrative policies and procedures necessary for the smooth and efficient operation of the Division;
2. Securing input from key users in the development of policies and procedures;
3. Securing Division Director's approval; and
4. Communicating with staff on new and revised material.

Division staff will follow established policies and procedures.

### **PROCEDURES**

#### **Overview**

Selected administrative procedures employed within DPH are documented for consistency across the Division and compliance with DHHS procedures. A documented procedure defines how to accomplish the specific process, what forms, if any, to use, and what actions or results to expect. Normally, a procedure is documented if it is used regularly within the Division by any of the employees but often infrequently by any single employee; these procedures are to be performed in the specified manner because others in the Division, the Department or across State government will react and possibly respond to a product of the procedure.

Each procedure document will be formatted as prescribed herein and will be comprised of three main sections: Purpose, defining the need that the document is to satisfy; Policy, describing the higher level purpose of the procedure to be presented in this document; and Implementation, relating the procedure details, process flow and forms. DHHS and/or State policies will be incorporated in the DPH Administrative Manual.

The DPH Administrative Manual is segmented into chapters with an identified Subject Matter Expert (SME) for each subject area. SMEs are:

**Chapter:** General Administration

**Current Effective Date:** 9/3/14

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**ALCS Section Chief**

1. General Administration
2. Business Recovery
3. Communications, Liaison
4. Facility Management
5. Publications
6. Security Coordination
7. Services
8. Miscellaneous
9. Travel, Conferences and Events Policy
10. Training

**ALCS Operations Manager**

1. Administrative Manual Coordinator
2. Policy Coordination
3. Performance Management
4. Records Management
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**Contracts Manager**

1. Contracts
2. Request for Application (RFA) and Request for Proposal (RFP)

**Chief Budget Officer**

1. General Accounting
2. Controller's Office coordination
3. Grants Review, Approval, Coordination

**Personnel Manager**

1. Human Resources
2. Health & Safety

**IT Branch Head**

1. Information Technology
2. IT Security

**Purchasing Manager**

1. Purchasing
2. Travel Reimbursement
3. Invoice payment

**Local Technical Assistance & Training (LTAT) Branch Head**

1. Medicaid Memorandum of Understanding (MOU), Federal Financial Participation (FFP) and other issues
2. Consolidated Agreement with Local Health Department (LHD)
3. Accreditation
4. Nursing Practice
5. Fiscal Issues/Monitoring for LHDs
6. Public Health Training and Information Network

In addition, a Glossary is included at the end of the document to aid in acronyms and terms used but not widely understood.

**Identifying a Procedure to be Documented** - Generally, administrative activity results when a section/branch receives an input from outside the section/branch, performs its duties, and passes results to the same or another organization. To do this, a procedure is established that defines the input, the process, and the output. Stabilizing each procedure is best done by documenting the procedure and distributing it to those who either provide input to or receive output from the procedure. Following the procedures ensures that services are provided in accordance with state laws and procedures.

New procedures or revisions may be requested by program staff at any time. The requester should contact the SME directly.

New/revised procedure documents should be coordinated with the users of the procedure to be sure that efficiency and ease-of-use are incorporated into the document. Hence, the following approach is necessary:

1. Select a procedure to be documented.
2. Determine the “user set” for the procedure, i.e., who uses the procedure.
3. Introduce the plan for the new/revised procedure to the User Set.
4. Document the procedure.
5. Allow for review and comment by the User Set.
6. Seek management approval for the document (see below).

**Approval of a New or Revised Procedure Document** - Approval of a new/revised administrative procedure document is a three-step process:

1. ALCS staff secures/acts on input from DPH users for new or revised procedure,
2. ALCS secures appropriate management input and approves, and
3. ALCS sends procedure forward for Division Director’s final approval.

Following the development of a procedure with input from DPH staff, initial approval of a new/revised procedure document is done by the DPH Section Operations Managers and the ALCS Management Team. The DPH Administrative Manual Coordinator is responsible for

## Division of Public Health Administrative Manual

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**Chapter:** General Administration

**Current Effective Date:** 9/3/14

---

distributing any new/revised procedure to reviewers for their review and comment using a control form such as that shown in Figure 1. The owner must address any issues raised by either program staff or the reviewers. After issues are resolved and updates incorporated into the procedure, the procedure will be presented to the Division Director for approval.

Once a procedure document is approved by the Division Director, the DPH Administrative Manual Coordinator in ALCS will incorporate the document into the DPH Administrative Manual, and have the document made available on the DPH web site.

**Division of Public Health Administrative Manual**

---

**Chapter:** General Administration

**Current Effective Date:** 9/3/14

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**FORMS**

**FIGURE 1:**

**Control Sheet for Approval of a Procedure Document**

DPH Administrative Manual Update Review/Approval

To: \_\_\_\_\_ Date: \_\_\_\_\_

For: Review \_\_\_\_ Approval \_\_\_\_

Response due: \_\_\_\_\_

This form is to be used to document and record comments or approvals for proposed changes to the Division of Public Health Administrative Manual. No changes to content or to forms will be put into practice without authorization by DPH management.

Document Name: \_\_\_\_\_

Version #: \_\_\_\_\_ Date of draft: \_\_\_\_\_

Author of the draft: \_\_\_\_\_ Phone: \_\_\_\_\_

**Results of the Review / Approval:**

\_\_\_\_\_ I approve the document without comment.

\_\_\_\_\_ I approve the document subject to comment.

\_\_\_\_\_ Comments are annotated in the document

\_\_\_\_\_ Comments are on attached paper (\_\_\_\_ pages)

\_\_\_\_\_ I wish to review again after comments are resolved and withhold my approval pending this review. (Document will be returned to you after your comments are integrated.)

\_\_\_\_\_ I disapprove the document for the following reasons:

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Reviewer / Approver

Return the completed form plus comments to the: DPH Administrative Manual Coordinator  
DPH ALCS  
1931 Mail Service Center  
5605 Six Forks Road  
Raleigh, NC 27699-1931

### **Version Control of Procedure Documents**

The DPH Administrative Manual Coordinator will ensure version control of DPH policies and procedures as indicated by the Current Effective Date of each new release of a policy/procedure. Dates are recorded in the first document header (note the top of the first page of this document) of each document. Note that the initial header contains:

1. Chapter is the name of the portion in the DPH Administrative Manual where this document appears.
2. Title is the name of this document.
3. Current Effective Date is the date that this version of the document was approved.
4. Revision History is a record of the approval dates for previous versions of this document.
5. Original Effective Date is the date the first version of this document was approved.

This is a manual versioning process that requires the DPH Administrative Manual Coordinator to recheck the version history with each new document release.

At the end of each document, a section entitled “Version History” is to be appended. The section is a row-by-row history of the versions of the document beginning with the initial release of the document. Each subsequent row identifies the date and reason for the revision. Note the last section of this document.

### **Archiving Procedure Documents**

For this document, archiving is the retention of superseded versions of a policy/procedure document for a period of time, the DPH Administrative Manual Retention Period. It is the responsibility of the Coordinator to maintain complete and accurate document archives. The archiving capability is to permit ready access to any version of a document released during the retention period. Documents are to be retained in hard-copy (e.g., in a binder) and soft-copy (e.g., a “floppy” or a CD) to assure the availability of one or the other. The DPH Administrative Manual Retention Period is 7 years to ensure the availability of documents for the duration of all contracts and grants.

### **DHHS Policy Coordination**

The ALCS Section of DPH is responsible for coordinating any policy or procedure of DPH that affects DHHS-wide policy or policies between divisions of the Department. The Policy Coordinator assures compliance with the DHHS Policy and Procedures document.

### **Document History**

September 13, 2004: Initial approval of procedure

September 1, 2006: Revision

February 13, 2007: Revision

September 3, 2014: Revision