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City of Omaha Personnel Department: Analysis and Recommendations

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CITY OF OMAHA
PERSONNEL DEPARTMENT:

Analysis and Recommendations

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CITY OF OMAHA PERSONNEL DEPARTMENT:
ANALYSIS AND RECOMMENDATIONS

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May 1983



Center for Applied Urban Research
University of Nebraska at Omaha



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Executive Summary

The Center for Applied Urban Research undertook an analysis of the city of Omaha personnel department during the winter and spring of 1983. This is a summary of the principal findings and recommendations of that analysis. Detailed discussion regarding these and other important issues of personnel management in Omaha can be found in the body of this report.

General

- * The department has been the subject of two previous studies (1978 and 1980). Many of the recommendations of these studies have yet to be implemented. They should be, as long as they are not in conflict with recommendations made in this report.
- * At the beginning of this study, owing to several factors, considerable uncertainty and a fairly low morale were evident in the department. Although the situation has improved noticeably in the past six months, city officials should recognize these conditions and take actions to keep them from occurring in the future.
- * The study team found that the issues and problems that confront the department are fundamental in nature and require policy level attention.
- * Procedures manuals covering all activities and functions should be prepared by all divisions in the department.

Major Divisions and Functions

Employment Division

- * The employment division spends an excessive amount of time on testing applicants for city employment and promotion within city ranks. Specific actions have been recommended to redirect the work and improve the efficiency of this division.
- * The employment division and other divisions perform job analyses. This results in unnecessary duplication which should be ended by assigning the function of job analyses to a single division.
- * The division should work more closely with city operating departments with respect to the testing of new hires and internal promotions.
- * The division should be divided into two units, an intake unit to handle recruitment, applicant processing, interviewing, and applicant test scheduling, and another unit devoted to developing and administering all testing instruments.

P-20 Process

- * A serious conflict between the roles of the personnel department as a provider of services to other city departments and the "policing" of the personnel processes became evident when the study team evaluated this function. The report recommends resolution of this conflict in the direction of service and away from policing.

Changes made during the past six months have begun to move the department in this direction, and the results are being noticed and endorsed by other city departments.

Compensation Division

- * Eliminate unnecessary duplication in the conduct of job analyses.
- * One additional staff person and additional clerical support are needed in this division.

Human Resource Development Division

- * The employee performance appraisal system as designed may not be an appropriate device. It should be viewed as experimental and tested and refined or replaced as warranted.
- * The division should conduct a training needs analysis for all city departments and employees.
- * Clarification of duties and responsibilities should be provided for division staff as several persons in this division appear confused as to their long- and short-term functions.

Benefits Division

- * An employee orientation program should be instituted, partially to explain city benefits to all new employees.

- * The administration of all employee benefit programs and functions, except possibly claims handling, should be centralized in this division.
- * An automated word processing system should be acquired for use by this division, to be shared with the staff person providing secretarial/clerical support for the personnel board.

Records Division

- * Security for records maintained by the division needs immediate improvement.
- * A backup system, possibly microfilm, should be implemented for all personnel records.

Injured-on-Duty, Workers' Compensation, and Safety

- * The principal recommendation in these areas is that Omaha establish and staff a risk management program either as a full-fledged department or a division of the finance department.
- * A comprehensive risk management analysis covering all city departments and functions should be undertaken and implemented.
- * Short-term recommendations of importance to these areas can be found in the body of this report.

Personnel Board

- * Implement an automated word-processing system to be shared with the benefits division.

- * Security for personnel records maintained for board meeting purposes needs to be improved.

Secretarial/Clerical

- * A two-station word-processing system should be acquired.
- * Two word-processing operators and one back up operator are required to operate this system.

Data Processing

- * Acquire a "packaged" on-line personnel management information system and implement it on the county IBM 3031 based computer system with terminals and printers in the personnel department offices as needed.

Reception Area

- * Improvements in the physical layout and aesthetic quality of this space should be made.
- * A full-time receptionist position attached to the new intake unit should be established and filled.

Chapter 23

- * In general, Chapter 23 of the City Code provides ample authority to implement the recommendations of this report. Only few changes are recommended for Chapter 23 to improve personnel management in Omaha. Some of these changes are:
 - Amend Sec. 23-51 to allow the city to appeal unfavorable personnel board decisions.

- Amend the chapter to limit personnel board action to upholding or reviewing personnel actions taken by the city and prohibiting modifications of such action.
- Amend Sec. 23-232 from the current rule of three to a rule of five.
- The personnel director should take advantage more frequently of Sec. 23-222 to reduce the term of eligibles lists in order to ensure that the highest caliber applicants are available for city employment.

CITY OF OMAHA PERSONNEL DEPARTMENT:

ANALYSIS AND RECOMMENDATIONS

I. Introduction

On November 12, 1982, an agreement was signed between the city of Omaha and the Center for Applied Urban Research (CAUR) of the University of Nebraska at Omaha for an analysis of the city's personnel department and related functions. Specifically, the agreement called for CAUR to study the personnel system and to produce a report covering but not limited to the following items:

(a) a description of Omaha's current personnel management system, including personnel practices, procedures, rules, regulations, staffing, organizational arrangements, and major problems

(b) an identification of major strengths and deficiencies of the current system

(c) an identification of major problems faced by the personnel department

(d) a recommendation of an appropriate staffing level

(e) a recommendation of changes in departmental structure and functions

(f) a recommendation of changes in personnel rules, policies, and procedures.

The study was initiated on December 15, 1982, when the study team met with members of the personnel department to explain the purposes and methods of the study, to answer questions, and to address concerns that personnel depart-

ment members might have regarding the study. Field work in the form of on-site interviews, data collection, and observation began in January, 1983. The study team interviewed nearly all staff members in the personnel department and obtained written reports and other documentation concerning departmental activities, policies, and procedures. Finally, all city department heads were interviewed in order to obtain their perspectives on personnel functions in Omaha.

II. Background of the Study

In 1981-82, CAUR conducted an analysis of the data processing and information management activities of the city of Omaha. One of the recommendations of that study¹ was that the city should implement a fully automated, integrated personnel management system. However, the study also noted that, prior to such an undertaking, Omaha should determine its management information requirements for personnel activities.

In addition to the recommendation of the data processing study made in the summer of 1982, the personnel department was the subject of task force examinations performed in 1978 and 1980.² The task forces made numerous recommendations regarding personnel activities in Omaha, many of which have not been implemented. To the extent that they are not in conflict with the recommendations made

in this report, they should be pursued by the personnel department. These are summarized in Appendix A.

Finally, the present study was initiated at a time of some concern within the personnel department. Over the months prior to this study, several internal organizational changes and changes of assignment had occurred within the department. While many of these changes were designed to improve departmental efficiency, others appeared disciplinary in nature, and yet others appeared to have been taken in order to avoid a direct confrontation with organizational or other problems extant in the department.

This study was also initiated at a time of a major leadership change for the department. The former personnel director had been appointed to head a new labor relations department for the city. The safety function formerly located in the personnel department had been transferred to the labor relations department. A new personnel director had been appointed and had assumed his position.

Hence, the study began amid a relatively high degree of uncertainty within the department. For example, during the meeting with departmental staff in December, the study team was questioned about the likelihood that recommendations to improve departmental activities would be implemented. Initial interviews revealed a widespread problem of low morale in the department. Subsequent interviews and obser-

vations indicate a noticeable improvement in morale over the past five months.

The study team's initial plan was to develop a report that focused on procedures, forms, paperwork, work flow, and staffing in the personnel department, touching on larger policy issues where they affected efficiency. As the result of the analysis, however, this initial plan was largely abandoned in favor of a more generalized report that addresses major policy issues and is only incidentally concerned with procedure and administrative practice.

The reasons for this change in focus are twofold. First, in the opinion of the study team many of the issues and problems that confront the department as well as effective personnel administration citywide are fundamental and require policy level attention. One example is the recommendation for the establishment of a risk management program in Omaha. Another is the recommendation that the city acquire an on-line "packaged" personnel management information system to run on the county's mainframe computer.

Second, in the face of fundamental issues, undertaking relatively short-term adjustments to existing practice or procedure would not be cost-effective. A major policy change, the establishment of a risk management program, is in order rather than changes in forms, paperwork flow, and

the like, in order to improve the city's injured-on-duty, workers' compensation, and safety functions. Similarly, instead of attempting to graft a computerized personnel management information system onto existing forms, paper-work flow, and reporting, it would be more cost-effective to acquire an existing, already tested, and proven software package that performs all needed personnel management information functions and to couple it with needed changes in procedures and practices.

Although the principal focus of this report is at the policy level, the study team has not altogether abandoned their plan to address issues of practice and procedure. In fact, throughout this report they make specific recommendations for short-term attention and action that they believe will promote immediate improvements in personnel management in the city. They also suggest specific changes to accompany or to follow recommended major policy level actions.³

III. Findings and Recommendations

The findings and recommendations of this study are presented in the following pages and are reported by major division or function in the personnel department. Generally, each subsection provides an overview of the division or function, presents principal findings, and follows with recommendations to improve policy, practice, or procedure.

A. Employment Division

The employment division includes a division manager, administrative secretary, and one part-time and four full-time professional employees. The division manager and all of the full-time professional staff are permanent employees. Previously, the division had employed two of the professional staff in positions classified as seasonal.

The employment division has responsibility for recruitment, applicant intake, evaluation, and testing of applicants. The division also has responsibility for promotional assessments. This function includes the identification and/or development of promotional assessment instruments and methods. Additionally, the employment division coordinates employee transfer requests and processes re-employment applications for persons previously employed with the city.

The division has responsibility for a variety of intake activities that include:

- * referring potential applicants to classification manuals that describe positions in the city
- * processing applications and preparing forms
- * notifying applicants when positions become available
- * scheduling tests for applicants
- * scheduling and following up on physical examinations.

Most of the intake related activities are carried out by the administrative secretary II (placement officer) and

one personnel specialist who conducts nearly all of the applicant interviews.

While no exact figures related to intake are available, an estimate is that approximately 10,000 applications are processed each year.

Applicant evaluation involves the development of selection tests, administering tests, evaluating test results, and preparing employment lists. The employment list consists of a rank ordering of job applicants for a given position based on test scores and other criteria such as education points and seniority. Theoretically, the division "tests" for all of the nearly 300 different positions in the city. However, the division's working definition of a test is very broad. At one extreme, completion of an application and meeting certain requirements is viewed as testing; at the other extreme, the completion of a highly technical written examination is also viewed as testing.⁴

The division is responsible for carrying out the city's promotional assessment process. This includes the following activities:

- * performing job analyses in order to determine job requirements and build valid tests
- * developing written promotional examinations
- * administering and scoring promotional examinations.

For many supervisory and management positions the division conducts assessment centers. Major activities related to the assessment center processes are:

- * developing, conducting, and scoring in-basket exercises
- * developing assessment scenarios
- * training assessors
- * conducting assessment centers
- * serving as role players in the assessment process
- * providing feedback to applicants who go through the assessment center.

In addition, the division carries out a research function. This includes the determination of legal requirements for tests, background research for test development, and the statistical analysis of test results. Most of the selection and promotional testing activities are carried out by one part-time and three full-time employees. The division director is also involved in these activities.

The employment division also performs a variety of clerical tasks in support of intake and testing functions. All division employees (professional, administrative, and secretarial) perform clerical tasks.

Findings

The major findings regarding the employment division are summarized below.

- Testing consumes a major portion of the division's time and effort. The goal of providing quality personnel through modern testing methods is indeed laudatory. The personnel department is fortunate to have such highly trained specialists. In a sense, this laudatory goal is also the department's nemesis. The employment division tends to be a bottleneck within the personnel department in that its present procedures are very time consuming. The department has difficulty carrying out its mandate of identifying qualified entry level and experienced personnel for employees in the city's operating departments within a reasonable time-frame. Testing is the single most important factor responsible for this bottleneck. The professionals in the employment division are highly trained individuals with educational backgrounds in industrial-organizational psychology and psychometrics. A professional "subculture" is in place with the dominant focal point being testing. Nearly all of the time of the division's staff is spent on testing which is very time consuming and costly. For example, the scoring of the in-basket portion of a recent police sergeant's promotional examination took approximately 180 person-hours or 4.5 person-weeks. One estimate

of the cost involved in administering this promotional examination is \$35,000.

In summary, the result of the overemphasis on testing in the employment division is that the personnel department cannot respond to the operating departments' employment and promotional needs in a timely manner.

- Interviews with heads of operating departments indicate that even though some tests are outdated they are still used by the employment division.
- The use of personnel in operating departments to assist the division in carrying out the testing process is, in some instances, viewed by the operating departments as an unreasonable drain on their resources.
- On occasion a conflict of interest in the promotional process may occur or at least the appearance of one. Assessment center personnel and people being tested may know each other personally. This creates dissension within the operating departments and discredits the assessment center process.
- A finding of the 1980 Economy Task Force Report (p. 19) that "compensation job studies and testing job analyses have the potential to overlap" still appears to be valid. The employment division makes

little use of compensation job studies in test development. This also appears to be the case with information being collected as part of the performance appraisal process. This information is essential to any content validity of selection and promotional tests.

- Virtually all job applicants are interviewed even though a very low probability exists that they will be hired. The large volume of interviews is excessive. For example, one employee interviewed 841 applicants during the period from October to December, 1982. Over 2,100 applicants for positions with the fire department were interviewed in 1981. Excessive interviewing was identified as a problem by the Economy Task Force Report in 1980 (p. 130).
- The division lacks adequate clerical staff. The professional staff spends too much time carrying out routine clerical functions.
- The division has historically relied too heavily on the use of seasonal (temporary) help. Seasonal employees have been given reason to expect permanent employment that has not been forthcoming. As a result, morale has been adversely affected. High turnover and a loss of quality employees to the private sector can be expected.

- No program exists to meet the professional development and growth needs of division employees. The division is viewed as a career dead end and as a training ground for entrance into the private sector.
- The employment division uses 19 different forms. Only eight of these had titles and control numbers assigned to them. The management of these forms appears to be loosely controlled. Information is often redundant from one form to the next.
- Only a minimum of information is computerized. This results in much unnecessary clerical/paper work, partly performed by professional staff. This contributes to the amount of time required for the division to meet employment needs of operating departments.

Recommendations

The functions performed by the employment division are perhaps the most important ingredients in the personnel process of the city of Omaha. This division, like similar ones in municipalities across the country, attempts to meet a variety of goals and objectives, some of which are in conflict with one another. On the one hand, the division has the basic goal of meeting the personnel needs of the city's operating departments. From the point of view of the operating departments, this involves identifying

suitable employees within a short period of time. The department also has the goal of meeting the legal needs of city (EEO, Title VII, etc.). Meeting these needs by implementing elaborate selection and promotional testing procedures increases the amount of time required for an operating department to fill positions. Thus, the goal of meeting operating department needs and city legal needs appear to be in conflict with one another.

The strong testing orientation in the employment division is also in conflict with the goal of meeting the day-to-day needs of the operating departments. Within the division, testing is in danger of becoming an end in itself. The value system carried into the division by the professional staff emphasizes the need to use sophisticated "state-of-the-art" selection and promotional testing processes. Meeting this need may be incompatible with the goal of meeting the personnel needs of operating department within a short time-frame.

1. The employment division should not abandon any of its current goals. However, it should alter its present emphasis and place greater emphasis on the goal of meeting the day-to-day needs of the operating departments. Presently, insufficient emphasis is being placed on this goal. Many of the recommendations that follow emphasize changes that

might help the employment division to meet the needs of the operating departments better. The orientation implied is that the division exists to serve rather than police the operating agencies.

2. The employment division should set measurable objectives for the amount of time (e.g., X number of days) required to provide an operating department with a final list of qualified personnel. These objectives should reflect a substantial decrease in the time required from the present level. Employment division staff should develop a written plan for meeting these objectives. After review and approval by the director and other appropriate personnel, the plan should be implemented and monitored.
3. The director of the personnel department, in conjunction with employment division staff and the division manager, should establish measurable objectives for reducing the work load associated with the amount of testing done within the division. Possible mechanisms for bringing about a reduction include:
 - a. Limit the use of assessment centers to select and promote positions that are clearly management. The use of the assessment centers for supervisory

personnel (e.g., police sergeants) is probably inappropriate and unnecessary.⁵

- b. Limit test development activities by relying more on commercially available test instruments and systems.
- c. Where feasible, reduce the number of applicants tested by upgrading minimum qualifications for positions. A greater number of applicants could then be screened out prior to testing. (See comments on page 11 on excessive number of applicants and interviews.)

While such a move could conceivably have adverse effects on the creation of pools of minority and female candidates for some positions, this is not the intent of this recommendation. Indeed, the study team feels that the city should undertake affirmative action to ensure the availability of pools of minority and female candidates for positions in city employment regardless of the qualifications for positions.

What this recommendation is intended to accomplish is to (1) reduce the amount of effort spent by department staff in processing job applications; (2) improve the overall quality of

candidates eligible for city employment, and (3) provide potential job candidates with a clearer understanding of whether they qualify for specific positions.

Inherent in this recommendation--as in many others in this report--is the concept of a trade-off. Very few recommendations in this report can be implemented without effects on other aspects of personnel management in Omaha. At the best, these effects should be recognized, reasonable judgments and decisions made, and action taken. To fail to act at all because of the possible consequences of action necessarily results in stagnation.

- d. Identify a greater number of positions for which written testing is unnecessary.
- e. Where feasible, design valid and "legal" tests that group positions together.

The employment division staff should be given the mandate to develop a plan that includes strategies such as those suggested above for meeting the objective of reducing the amount of testing conducted in the division. This plan should be reviewed by the director as well as the operating department heads. A system for implementing and monitoring the plan should also be established.

4. The personnel department should explore the possibility of conducting singular job studies/analyses that can be used by the employment division, the compensation division, and performance appraisal staff. The department should create a new division titled manpower planning and analysis. This new division would conduct the singular job studies described above. In addition, it would establish manpower planning designed to analyze the long term personnel needs of the city. This division in cooperation with the employment division could also begin to undertake studies on the predictive validity of the employment division testing.
5. Teams consisting of staff from the employment division, the compensation division, performance appraisal, and operating departments, should review all existing tests for content validity. These teams should be involved in determining if tests developed by the division are current and sensitive to the job elements identified as part of job compensation/classification and performance appraisal processes.
6. The personnel department should undertake an internal review in order to compare its testing and promotional techniques with the state of the art.

The department should take advantage of advice and assistance from other organizations, where such is available. These organizations might include other cities, the U. S. Office of Personnel Management, the National League of Cities, and others.

7. The personnel department should separate the employment division into two units, intake and testing. The intake unit would be responsible for recruitment, application processing, interviewing, and applicant test scheduling. This unit would also be given the mandate to develop strategies for reducing the number of applications taken and processed and reducing the number of interviews conducted. These strategies, in the form of a plan complete with measurable objectives, should be reviewed by all division heads within the department as well as the heads of the operating departments. Once approved, the plan should be implemented and monitored by the personnel director.
8. Employment division personnel, especially those involved in testing, should work closely with the operating departments in developing selection and promotional instruments and processes. The division should actively seek input from the operating departments. The division should expand positive

communication channels with the operating departments.⁶

9. The division should take steps to make sure that assessment centers and related promotional and selection processes are free from the possibility of any conflict of interest. Assessors should not be used if they know the applicants. All top level management selection and promotional assessments should use at least some assessors from outside the city of Omaha.

B. P-20 Process⁷

At the time of this analysis, one staff person in the personnel department had full responsibility for investigating departmental requests for personnel. Requests for personnel are made to the personnel director via written memoranda prepared by department heads. These memoranda result in completion of a P-20 form, or personnel requisition, by the personnel department. The next step in the process is for the personnel department to investigate the request to determine, among other things, if positions requested are properly classified, budgeted, and "needed" by the requesting departments.⁸

Findings

- One person, who has other responsibilities as well, cannot singlehandedly investigate all P-20 requests.

In fact, "investigation" is probably a misnomer. What actually occurs in most cases is less than a formal, comprehensive investigation. This is understandable because of the limited amount of time available to the responsible staff member in the personnel department.

- Although the personnel department largely plays an appropriate role in the P-20 process (e.g., to determine if a legitimate, budgeted vacancy in a proper classification exists), an adversarial relationship was found to exist between the personnel department and other departments over the filling of requested positions.

This is due to at least five factors: 1) an implicit view on the part of the personnel department that it should be the final arbiter of the departments' staffing needs; 2) the absence of effective liaison and communication between the personnel department and other departments; 3) lengthy delays in filling requested positions or responding effectively (e.g., providing feedback and direction) to the departments; 4) failures by department heads to document or justify adequately their requests and, in some cases, departmental attempts to circumvent city hiring policies and procedures; and 5) certain procedures,

practices, and policies that inhibit efficient action to fill requests for personnel.

Recommendations

1. A policy level decision needs to be made regarding the roles of the personnel department and other departments regarding the filling of positions. Less policing of the personnel needs of the other departments should take place within the personnel department, leaving these decisions largely to department heads. The personnel department should continue, however, to perform the more mechanical functions of reviewing requests for personnel for adequate documentation, proper classification, and the existence of budgeted vacancies.
2. Each city line and staff department should have a personnel specialist or technician in the personnel department assigned to it for the purpose of establishing formal liaison. This could be an additional assignment for existing personnel department staff persons. Their roles would include advising the departments on the proper procedures to use to have vacancies filled, being advocates for the other departments within the personnel department, ensuring the expeditious flow of these departments'

requests for personnel, and being these departments' primary points of contact within the personnel department. This role should be one of providing guidance and assistance, not one of second guessing or making decisions on personnel matters for the departments.

3. The personnel director should promulgate guidelines regarding the time required to process P-20 requests and hold personnel department staff to account for meeting these deadlines or to explain why they are not met. Regular continuing communication should be undertaken by the liaison persons concerning the status of all P-20 requests and all other personnel actions affecting their assigned departments.

4. The heads of all city departments should be briefed by the personnel director regarding the need to document P-20 requests adequately, the format and substance of the documentation, and other personnel department procedures regarding this process.

For their part, the department directors should recognize the legitimacy of the personnel department's role in the hiring process and the need for and legitimacy of the city's personnel rules. Efforts to circumvent these rules should be strongly discouraged.⁹

5. The section of this report containing proposed changes to Chapter 23 will present recommendations for improvement in hiring procedures designed to promote greater efficiency in the P-20 process.

C. Compensation Division

The compensation division is charged with making sure that job classification and compensation levels are consistent with duties performed by city employees. Related responsibilities include revising and developing job descriptions, making recommendations concerning the addition of new classifications, and the deletion of obsolete classifications.

Division staff include a division manager and two personnel specialists, one full-time and one part-time. The latter two employees conduct job analyses/audits, write job descriptions, and conduct salary surveys. The job analysis/audit process involves analyzing employee 20-day work logs, interviewing employees in similar positions to determine and verify duties, preparing a report of findings, and making recommendations concerning classification and compensation to the division manager.

Findings

The major problem in the division appears to be work load. However, this problem should be alleviated in the

future since the division is currently involved in a catch-up effort to complete job analyses for every classified position. Once the catch-up effort is completed, the classification process will be repeated every two years.

Beside workloads, some additional findings related to the compensation division are:

- Data generated in the job analysis/audit process are probably the richest source of information on work elements and job tasks in the city and should be utilized to a greater degree by testing and performance assessment. At present, the job analyses and studies conducted by three divisions in the department tend to overlap and are duplicative.
- Access to clerical support staff is inadequate. Professional staff spend too much of their time performing clerical tasks.
- The job analysis/audit process is generating a tremendous amount of paperwork and is creating a filing problem. The possibility of using an electronic filing system should be given consideration.

Recommendations

The compensation division is well organized and has a clear sense of role and mission. The following recommendations are offered in support of the division's efforts.

1. One additional professional staff member should be added to the division. This could be accomplished by converting the part-time personnel specialist position into a full-time permanent position. This should help with the present catch-up effort and help to make routinized job analysis/audits a realistic possibility.
2. The division needs access to a greater amount of clerical support staff. This should free the professional staff to focus more on job analysis and related tasks.
3. The following recommendation of the Economy Task Force (1980) continues to be appropriate. "Cross train individuals in compensation job studies and testing job analysis to gather all the data necessary to complete a job study and a job analysis at the same time." This recommendation should be expanded to include the cross training of staff involved in performance appraisal.

D. Human Resource Development Division

The human resource development division within the personnel department includes a division manager, two personnel technician II's, two personnel specialists (one of whom is part time), and an in-service technician. The

division has been created only recently, centralizing what was formerly two separate divisions, training and affirmative action, and performance appraisal.

The human resource development division serves several major functions including:

- Coordination of all in-service and out-service training of municipal employees. This includes the creation, monitoring, and evaluation of training programs provided by either the human resource development division, other city personnel department staff, or other city staff. It also includes operation of the tuition reimbursement program for city employees and maintenance of accurate records on such activities.
- Overall responsibility for developing, updating, and enforcing the city's affirmative action plan. This requires coordination with the city human relations department and other city departments in collecting information and implementing established affirmative action goals.
- Development and implementation of all performance appraisal systems for city employees. This includes the development of separate performance evaluation systems for both managers and non-supervisors within the collective bargaining unit. Additionally, it

involves the training of supervisory and non-supervisory personnel in the operation of these performance evaluation systems and monitoring, oversight, and technical assistance in the implementation of these systems.

- Other miscellaneous activities are carried out by certain division personnel. Tours of the civic center building, liaison work with the Omaha Public School District, and development of separate job analyses of city employees are the responsibility of division staff.

Two individuals are assigned to develop and implement the performance appraisal system, a personnel technician II and a part-time personnel specialist. At the time this report was completed, the initial performance evaluation system had been developed for managers and supervisors. Final training was being completed and implementation was about to occur. A draft system had also been created for the bargaining unit employees but was still being perfected.

The training function of the division was performed by three separate employees including a personnel technician II, a personnel specialist, and the in-service technician. In previous years the training division had provided specific, technical training for the environmental services

division of the public works department under contract to that department. Funding for this training has been eliminated, and staff training has been reduced so only one person, the in-service technician, was providing any current technical training for this department. The following were among the most common types of in-service training noted:

- * cardiopulmonary resuscitation
- * defensive driving
- * new employee orientation
- * affirmative action.

Other training has been provided in such areas as improved supervision and time management, but these are not consistent offerings. Both the personnel technician II and the personnel specialist work with the tuition reimbursement plan for out-service training.

Affirmative action duties were generally handled by the personnel technician and the personnel specialist responsible for training.

Most recently, the division manager, two personnel technicians, and one personnel specialist have been involved in revising the existing affirmative action plan and were expected, subject to city council approval, to work jointly in implementing the revised goals of that plan.

Findings

Evaluation of the existing human resources development division is difficult due to its recent creation and the highly fluctuating nature of its staff responsibilities. However, certain elements can be isolated based upon observation and discussions with the staff. Among the major findings are the following:

- While major strides have been made to address the concern of the two previous personnel department studies regarding adequate employee performance evaluation, several problems occurred in design of the appraisal system for managers. First, the study team was initially told by the staff persons principally responsible for developing the performance appraisal plan that no other cities were contacted to determine their problems or experiences with such a system. Later, the study team was advised that contacts with other cities for this purpose were made. The impression, given this conflicting information, is that Omaha could have benefitted from a more systematic review of experiences and systems in other cities.

Secondly, the performance appraisal system that was designed appears overly cumbersome and detailed, and its implementation will require considerable time

and effort on the part of both supervisors and managers. Discussions with department heads throughout the city clearly pointed to considerable resistance to the new evaluation system, and this may cause less than effective utilization of the appraisal tools. A similar reaction may occur among bargaining unit employees unless the process is changed radically.

- No training needs analysis has been completed for city employees. While this was a priority of the new division manager, apparently the staff of the division have little direction in knowing what the goals or objectives of such a training effort should be or how such an analysis would be undertaken.
- Serious coordination problems are evident among the human resources development, testing, and compensation divisions with respect to job analyses. Each of these divisions performs separate job analyses, creating serious duplication problems and wasted effort.
- Clerical support was inadequate or at least lacking direction. Most of the concerns were related to the use of a central typing pool for handling most typing requests. The division staff appeared confused and unclear as to typing priorities within the pool and

were frustrated by the lack of turn-around time for their priority projects.

- The division lacked a clear management information focus. No consensus was evident on what information was being collected by the division or how automation might assist in utilization of that information. This was due in part to the many changes that were occurring in personnel and organizational structure. No systematic review has been carried out relative to the goals and objectives of the division.
- While many differing types of information were mentioned as subjects for computerization, no thought has been given to the time required to manage such information, either to collect and input the information or to determine how it would be used by the division or department.
- While some effort has been made to clarify responsibilities of the staff, confusion and apprehension still exist about future responsibilities.
- A historically weak relationship has existed between the employment division and the human relations department. However, interviews with staff in the human relations department suggest that this relationship has improved substantially in recent months.

Recommendations

The human resources development division is a newly created division within the personnel department. It carries out increasingly important functions that have major ramifications for city employees. As such, it needs to have a clear focus and direction about what its functions should be, who is to carry out those functions, and how they relate to other activities within and outside of the personnel department. Among the specific recommendations of this report related to these areas are the following:

1. The performance appraisal system for management level employees should be closely monitored to determine its feasibility. The current implementation of the system should continue but should be considered experimental so that changes can be made as it is tested in various departments. The performance appraisal for the bargaining unit should be closely scrutinized, and comparable cities should be contacted to elicit their experiences with similar systems before the evaluation system is fully implemented.
2. A training needs analysis should be undertaken to develop a more systematic approach to both in-service and out-service training for municipal

employees. Employees and supervisors should be brought into the process. Goals and objectives should be developed and alternatives proposed so the training staff has a clear idea of what they should be doing and what training programs should be eliminated, retained, expanded, or created to meet employee needs.

3. Job analysis should be centralized within a single new division in the department. (See page 24.) The job analyses should then serve the needs of all three divisions currently utilizing them.
4. The central typing pool should be returned and transformed into a word processing center. (See page 59 for the recommendation regarding word processing.)
5. Clearer decision rules for prioritizing workloads need to be developed so that clerical functions as well as typing functions can be handled within each division.
6. Many professional staff members appear to be spending an inordinate amount of time performing traditional clerical functions, particularly filing. Some reassignment of responsibilities may be necessary.

7. A systematic review needs to take place within the division of what its information needs are and the procedure best suited to meet those needs. No clear understanding exists regarding what information in training, affirmative action, or other areas is really important or how it should be collected or analyzed. This should be a top priority of the division manager.
8. In several areas computer input of information might prove particularly valuable to this division. This is true of both the training and affirmative action functions and may have direct relevance for performance appraisal as well. Such an analysis should be undertaken as part of a larger data processing review. (See pp. 59-62.)
9. Clear, concise duties and responsibilities should be provided to the division staff. Several staff persons appeared confused as to their long- and short-term functions within the office. Certain employees were doing work outside of the division's responsibilities. Others appeared to be doing a little of everything. These activities need to be sorted out as soon as possible.

E. Benefits Division

The benefits division has a division manager and one personnel specialist. This division is responsible for the

administration of the city's employee benefits programs including health, dental, and life insurance programs, a cancer insurance policy, a deferred compensation program, and two retirement programs (civilian, and police and fire). The division also has responsibility for the city's disability retirement program and for reviewing and authorizing IOD and workers' compensation claims payments. (See Figure 1.)

At the time of the study, the division's workload was considerable, involving the several benefit programs and a high volume of forms and paperwork. However, the level of staffing appeared adequate due in large part to knowledgeable, efficient employees.

Findings

- A single, central point apparently does not exist in city administration where an employee executes all applications and other required paperwork (e.g., payroll deduction forms) for benefit programs. The absence of a comprehensive orientation for new employees means that new hires may not be systematically introduced to city benefit programs.
- The benefits division is involved in administering two contradictory sides of certain employee benefit programs. On the one hand it ensures that employees

FIGURE 1

Omaha City Benefits
Administered by Benefits Division

* Health and Major Medical Insurance--Omaha is self-insured¹ although claims administration is provided by Blue Cross and Blue Shield under contract with the city.

* Dental Insurance--Civilian and fire department employees can voluntarily join a dental program provided by the Regency Dental Clinic. The payroll division of the finance department handles the application forms and payroll deductions required. Otherwise, the city is not involved in administering this benefit program.

* Dental Insurance for Police--This program is self-insured¹ and completely administered by the benefits division.

* Life Insurance--Connecticut General Life Insurance Company is the city's principal life insurance carrier. Application forms and other elements of program administration are handled by the benefits division.

* Other Life Insurance. A few employees have life insurance policies with Bankers Life or Guarantee Mutual Life Insurance companies. These are older policies, many of which involve paid-up insurance that was at one time offered as an employee benefit. Hence, the benefits division maintains records for their administration but no longer offers these programs as benefits to employees.

* Other Insurance--Colonial Life of South Carolina provides cancer insurance and Aetna provides a deferred compensation policy. Forms and paperwork for these are also administered by the benefits division.

* Pensions--Omaha's two pension programs (one for civilian employees and one for fire and police) are administered by the benefits division. As in the case of all benefits where employees make contributions, the payroll division of the finance department handles the payroll deductions and financial record keeping and reporting.

¹"Self-insurance" is used inaccurately in Omaha to describe these programs. To qualify as true self-insurance, a program must have a reserve fund or some other systematic before-the-loss arrangement for making loss related payments. In Omaha, loss claims are funded largely through annual operating revenues.

are covered by benefits, and on the other it is involved in claims review, acceptance, or rejection. (This is true particularly of the police dental program.)

- The city currently has no written policy regarding the number of payroll deductions an employee may request for benefits other than those sponsored or approved by the city or won through collective bargaining. Hence, some employees have payroll deductions for a cancer insurance policy and others for a deferred compensation policy.
- The benefits division makes effective use of numerous printed standard forms for various benefit programs. However, it also uses a variety of standard letters that must be individually typed.
- A standard procedures manual for administration of major benefit programs has been developed by this division. In fact, this is the only division in the department to have a standard procedures manual.
- The division processes all IOD (injured-on-duty) and workers' compensation related medical claims.
- The division receives a few, rather basic reports from the data processing section of the finance department. These include such things as financial reporting on employee contributions to pension programs and reporting on employee status in the health and major medical insurance program.

Recommendations

1. Institute a new employee orientation program. During that program, explain benefit programs and require employees to sign necessary application forms or to sign waivers in cases where they choose not to join benefit programs. These forms should be forwarded to benefit program carriers and administrators (e.g., Blue Cross, Regency Dental Clinic, etc.), and copies should be maintained in the employee's personnel file. In fact, the benefits division should develop appropriate procedures to ensure that all employee initiated actions regarding benefit programs (e.g., change of beneficiary) are forwarded to the appropriate office, carrier, or administrator with copies retained in the personnel folder.
2. Although the financial administration, record keeping, and reporting on benefit programs should remain with the payroll division, all other administrative requirements for benefit programs should be centralized with the benefits division. The only exception to this should be the separation of claims handling from other aspects of benefit administration. (See following recommendation.)

3. The benefits division's role in approving or rejecting claims should be transferred to another entity in city government, probably the finance department.
4. A written policy should be adopted regarding payroll deductions for other than city sponsored or approved benefit programs.
5. A word processing capability should be used in cases where individually created, personalized standard letters or forms must be executed. This will require that the division create a "cookbook" of such standard instruments for use by division employees and word processing operators when creating the documents.
6. Copies of the division's procedures manual should be made available to each employee in the division and to the department director. A copy should also be placed in the records division.
7. Similar manuals should be developed to cover all programs (e.g., pension) administered by the division and copies distributed as suggested above.
8. IOD and workers' compensation medical claims administration should be transferred to the risk management department or division recommended in Section G.
9. All financial transactions and transactions involving additions, deletions, or alterations to all

employee benefit records should be reported monthly in summary fashion (with detailed transaction accounting available) to the benefits division by the payroll division. The carriers or administrators of the benefit programs should be required to make similar monthly reports to the benefits division.

F. Records Division

The records division includes a division manager, an administrative secretary I, an administrative typist I, and an administrative typist II. The current manager has been in the position less than one year. Prior to his appointment the position was filled by the current manager of the benefits division. The administrative secretary has been in that position for several years and has the clearest institutional understanding of how the records division has been managed.

The records division has responsibility for all city personnel files with the exception of those maintained by the benefits division and by quasi-independent offices such as the municipal court and the Comprehensive Employment and Training Act (CETA) offices. All legal action taken by an employee or the city in personnel matters is based, at least in part, upon the records kept by this division.

Day to day management of the files is carried out by the administrative secretary under the direction of the division manager. The administrative typist provides clerical and typing assistance to the secretary and manager. Files are maintained in two ways. First, individual files divided into categories of police, fire, and civilian are kept on each active employee. Additionally, files are kept in less structured form for CETA employees, summer and other seasonal employees, and for the municipal court. Second, permanent part-time and seasonal employees' records are maintained in cardex files for easy access and reference. These cardex files contain current information on the employee (salary level, date of personnel actions, and so forth) which can be used by those in need of such information.

Information incorporated into each file includes the following:

- * P-19 - change of status forms
- * promotions and reprimands¹⁰
- * accident reports/medical information
- * tuition reimbursement vouchers
- * garnishments
- * suspension letters
- * evaluations (usually attached to the P-19 forms)
- * application for employment
- * letters of recommendation
- * training certificate(s).

Additional information may be placed in the file by either the employee or the city (subject to collective bargaining agreements). The employee has the right to inspect the file at any time by making an appointment to do so with the division manager. Unions may inspect files with the employee's permission. Department heads may also review the file with the permission of the personnel director or records division manager. The law department may also inspect the files.

Records of employees about to retire may be taken by the benefits division prior to the employee's actual retirement date. These files eventually reside within the benefits division. Records of separated employees are kept in two locations. Recently separated employees (those leaving the city since the early 1970's) are kept next to the current employee records adjacent to the receptionist's desk. Those separated prior to this date are kept in the basement of the city/county building in boxes along with other city records. No policy exists concerning what records should be kept or disposed of over what period of time.

Certain records are computerized for use by the city. The administrative secretary provides information from the P-19 change of status form on computer coded forms which are then forwarded for computer input. Once this is

completed, a printout of that information is provided to the secretary who verifies its accuracy.

Records are supposed to be carefully controlled with access limited to authorized personnel. This system works reasonably well for those outside of the personnel department, but little effective control exists either within the department or the city's legal department. No written policy exists on who should have access to the records or how that access should be regulated. All persons wishing to review the files are supposed to log files in and out of the records division, but this system is often abused because of the ease with which files can be removed when the administrative secretary is away from her desk.

The documents maintained within the records division regarding personnel actions are the only ones in existence. While all other departments in the city keep separate employee records, these may or may not contain the same information as those in the records division. No backup system exists in case of the loss of a file. Furthermore, both the cardex system and the individual files are located in the same area within the personnel department. Should fire or other damage occur within this area, both file systems would be vulnerable.

Findings

Major findings within the records division can be summarized as follows:

- While the division manager believes the security system regarding personnel files to be adequate, the review conducted indicates problems with security, especially within the personnel and law departments. Currently, an adequate method of keeping the files secure does not exist, especially when the administrative secretary is away from her desk. Law department staff and other staff within the personnel department may remove a file from the office without any security being provided. Not only could the file be misused, but it could be lost with no backup file available.

- The records system has no written procedures for the use, storage, and disposal of personnel records. Because of this situation, no records are ever thrown away. The records division continues to maintain files on summer youth employment workers, CETA workers, and others that might better be handled through archiving or disposal. Over 1,500 inactive records exist in storage in the basement of city hall, and another 1,000 inactive files exist on the fifth floor. These files are rarely, if ever, used. State law does not directly relate to which files should be retained for what period of time due to the charter form of government.

- No written procedures exist within the records division pertaining to issues such as who may review the files, at what times, and for what purposes. Clearly, a need exists for written procedures for such activities so that when personnel changes occur within the division some consistency of policy can be maintained. For example, the current division manager believes that department heads should have limited access to the files while his predecessor allowed more open access. In neither case was this policy put in writing.
- Currently no backup system exists for the personnel records. This creates the risk of loss and the corresponding problems associated with such a loss. While some files could be reconstructed, others could not.
- While information is available in usable form within the records division, the retrieval and updating of that information could be improved by moving from a totally manual system to an automated system.
- Currently the benefits division within the personnel department has access to the records division files prior to the retirement of a particular employee. This creates difficulties when a file is missing for a period of several days or weeks before the official retirement of an employee.

- Interviews with various department heads throughout the city revealed that very few had any idea what the records division did or what information was contained within the individual personnel files. While departments may keep individual files on employees for easy access and retrieval, they may also keep records due to a lack of trust or understanding about what the files in the records division contain.
- While central personnel files are kept by the records division, other files are kept by divisions within the personnel department. This may have a bearing on personnel records management. The records division is not aware in all cases of the records and documents that might be kept by or in other divisions in the department.

Recommendations

The records division performs a vital function for both the personnel department and the city of Omaha. It is a source of all original information concerning individual employees and their history and current status within the city. The legal department depends heavily upon these records to protect the city against employee actions. Employees and individual departments depend on these records for their own protection and information. While

the current records division is serving these needs well with the existing staff, certain improvements can be made to increase the efficiency and effectiveness of the division. Among the major recommendations of this study are the following:

1. The security of the existing files should be greatly strengthened to reduce the possibility that files can be either misused, misplaced, or lost. This can be done through a more tightly monitored system at the access point (the locking of file cabinets when unattended, for example) as well as clear policy guidelines set forth in writing by the personnel director concerning who has access to the files, for what purposes, and under what circumstances.
2. The records division needs to institute a records management system immediately. Appendix B of this report contains an example of elements to be included in such a system. The legal department should be asked for guidance as to statutory requirements for retention of records. However, the system itself should be developed by personnel department staff.
3. In addition to a written policy on records management, the records division should strive to develop written procedures in all areas of concern.

Particularly, written procedures should exist on file review, organization, content, and control.

4. The department should create a backup file system for its most important records. A microfilm system for both active and inactive files is recommended. This backup system should be kept in a separate location from existing files to avoid the risk of loss.
5. See the recommendations on pages 60-62 regarding the use of an automated personnel management information system to include personnel files and records.
6. Procedures should be implemented to help determine when the benefits division may permanently request removal of an employee's file to their records. This would reduce the likelihood of misplacing files and allow for a smooth transition of records from active status to the benefits division when an employee retires.
7. A careful review of existing policies should be carried out to determine whether information currently deposited in the active personnel files is necessary or whether other records should be added that are not currently included in these files.
8. Effort should be made to inform other departments of what is to be included within the central personnel

files. Also, some anxiety may be relieved if written policies are provided to the department heads on when, if ever, records are removed or destroyed.

9. Concerted effort should be made to inventory what records are kept by other divisions within personnel and coordinate the record keeping function so that duplication or excess file storage can be eliminated.
10. Assistance should be provided to the records division to help it keep current with filing and updating of information. This assistance could come in the form of temporary help to remove the existing backlog in updating personnel records or through use of on-line computer capacity which is discussed elsewhere in this report.

G. Injured-on-Duty, Workers' Compensation, and Safety

At the time this study was begun, the safety function had just been transferred to the newly created labor relations department. However, owing to the close relationship of the safety function to the injured-on-duty (IOD) and workers' compensation (WC) activities of the personnel department, the three were combined for analysis.

IOD is used in city parlance to refer to the status of an employee who, due to a job related injury or illness, is

unable to report for duty. During the period of IOD status an employee receives full pay. Workers' compensation refers to the state law that requires employers to provide a stipulated amount of compensation to employees suffering full or partial disability due to job related injury or illness. (Under both IOD and WC, the employer is responsible for payment of medical claims associated with the job related injury.) In Omaha, IOD status and pay expire after one year and employees become eligible for workers' compensation.

The personnel division has one staff person assigned to the IOD/WC function. Two persons in labor relations are assigned to the city safety function.

Findings

- The review of the IOD/WC/safety functions revealed a situation of general policy and administrative inadequacy. An insufficient number of persons are assigned to these activities, and the entire area lacks adequate formal policies and written procedures. The study team noted complaints by administrators regarding alleged excessive use (or abuse) of what is seen as an overly lenient IOD

family practice medical service to whom employees injured on the job are referred.

- Safety training and inspection throughout the city is inadequate. Reporting of on-the-job injuries is also inadequate. Finally, the city's data processing facility does not provide adequate reporting on IOD incidents, claims, and medical payments.

This is not to say that the personnel assigned to these functions are inefficient or are not desirous of doing a good job. However, they lack adequate staff, policies, procedures, and training to perform effectively. Hence, a high level of understandable frustration was noted among these persons.

Recommendations

1. The principal recommendation of this section is that the city of Omaha establish a comprehensive, city-wide risk management program. This program should be administered either by a risk management division in the finance department or by a full-fledged department of city government. The program should be headed by a qualified risk manager and should be adequately funded and staffed. It should include, but not be limited to, the following functions:

IOD (all aspects)
workers' compensation (all aspects)

safety, including training, reporting,
and inspection
insurance and self-insurance (covering all
city property, casualty, and liability
risks).

2. The risk management program should be staffed by an adequate number of personnel competent in these areas in order to develop and administer the program effectively. To begin with, the following positions should be considered:

risk manager (1)
industrial nurse or other occupational
health professional (1)
safety inspectors (3)
safety trainer (1)
insurance specialist (1).

3. The city should undertake a comprehensive risk management analysis covering all departments, activities, and all property, casualty, and liability insurance and self-insurance programs. The study team believes that such an analysis, combined with effective risk management by an adequately staffed risk management program, will be highly cost-effective, promoting both cost saving and cost avoidance and a reduction of risks and losses to the city.

4. Undertake formal training for supervisors regarding use of the P-129 "Investigation Report of Injury or Illness" and subsequent safety investigation.
5. Develop and implement a policy regarding physical investigation of all major injuries, accidents, or other losses. (This is an area for regular use of safety inspectors.)
6. Consolidate the P-129 report and the "First Report" of injury that is required to be sent to the state.
7. Hire an industrial nurse or other occupational health professional to treat minor injuries, to assist in injury investigation, and to provide the city with expert opinion regarding work-related injuries and the prevention thereof.
8. Evaluate the costs and benefits of using an occupational or industrial health medical service for referral of injured workers in place of the current family practice medical service.
9. Establish a policy of "light duty" for employees suffering temporary occupational disabilities.
10. Establish a policy regarding the use of employees suffering permanent or long term occupational dis-

11. Establish a policy holding the departments accountable for occupational injuries, safety violations, and losses to city property.
12. Consider the use of outside, specialized legal counsel and medical referral and advice to assist with lawsuits arising out of injuries and losses to employees and liability claims against the city.
13. Complete the development of a comprehensive city-wide safety manual and initiate the development of work rules manuals specific to each department or major division in city government.
14. Train all employees in the policies, practices, and procedures set forth in these manuals.
15. Establish comprehensive city-wide safety, loss control, and security programs.
16. Institute monthly computerized reporting to the IOD manager and appropriate department heads on all cases of occupational injury. These reports should include such things as time, date, and location of injury, name of injured person, type and extent of injury, action taken regarding the incident, status of the case, and costs occurring to the city. (The

- ful data so that management can monitor IOD cases and institute remedial and/or preventative action.)
17. Reinstigate the use of vehicle accident and property loss reporting with monthly computerized summary reporting of data from these reports.

H. Personnel Board

The personnel board is established in Section 6.04 of the 1956 Omaha Home Rule Charter. Its five members are appointed by the mayor with city council approval. The principal functions of the board are advisory in nature, except in the matter of employee appeals regarding disciplinary actions where its decisions are binding on the city.

The board meets in regularly scheduled sessions on the last Thursday of each month, although it schedules special sessions as necessary. The personnel department director, division managers, and a city attorney assigned to the department attend board meetings and perform a variety of functions related to board activities. Secretarial/ clerical support for the board is provided by an executive secretary nominally attached to the benefits division of

Findings

- Administrative and secretarial/clerical support for the board is performed satisfactorily and efficiently and at an adequate level of staffing.
- All board documents (e.g., agendas, supporting materials, decisions, and minutes) involving considerable text creation and alteration as well as a large number of required notices are prepared by a single staff person using a standard electric typewriter.
- Personnel jackets (files needed for board meetings) are removed from the records division a few days prior to a board meeting and are kept in an unlocked filing cabinet by the board's executive secretary. The jackets are pulled in order to ensure that they contain complete information for board meetings and to ensure that all required jackets are available.
- Original copies of board minutes and decisions are maintained in a file cabinet by the executive secretary. Copies are sent to various parties, depending on the nature of the document.
- As in the case of many organizations that operate under strict deadlines, occasional lapses by personnel providing information and documentation for board meetings were noted.

Recommendations

1. A stand-alone or shared-logic word processor should be acquired for the creation of board related documents in order to improve efficiency and to allow the use of stored documents such as form letters.¹¹
2. Security for the jackets immediately prior to board meetings needs to be improved. First, a strict sign-out procedure from the records division should be implemented. Second, a fireproof, locked file cabinet should be provided for storage. Third, the cabinet should be kept locked at all times.
3. A fireproof, secure file cabinet should also be used to keep all board related documents. Duplicate or "backup" copies should be created and stored, also in a secure, fireproof cabinet, in a secondary location (e.g., records division).

(See Section F regarding security recommendations for the records division.)
4. Division heads and other involved parties should be reminded of the need to provide materials for board meetings in ample time to allow completion of the board packets ten days to two weeks prior to board

an executive secretary for the personnel board and two pension boards, and a secretary in the employment division who handles requests for personnel from city departments (the P-20's). At the time of this study, the typing pool in the records division had one clerk/typist II, but as the result of the hiring of a seasonal worker to handle receptionist duties, a clerk/typist I position is also available to assist the typing pool.

Findings

- Most of the professional staff were found to spend a considerable proportion of their time in functions of a clerical nature. These included the manual searching of files, manual reviews of a variety of records for report preparation, and, in some cases, typing their own documents.
- The centralized secretarial pool was felt to be inadequate for the needs of most divisions in the department.

Recommendations

1. Acquire and implement an on-line personnel management information system tied into the county com-

programmed automatically to produce most reports that are now manually prepared. It will also provide more timely and accurate information for departmental management purposes. (See Section J for additional detail.)

2. Acquire and implement a two-station, shared logic word processing system in the secretarial pool. Two full-time word processing operators and one backup operator would appear to be an appropriate level of staffing for this function. This recommendation should be followed with the development of standard forms and procedures and training of both the word processing operators and the professional staff in the use of this new system.

J. Data Processing Needs

At present, the personnel department makes scant use of automated data processing. A few reports are received from the county data processing center and the city finance department's data processing section. By and large, however, valuable information required for effective personnel management is not computerized, and at least some of the reports received are of limited utility. This leads

and also hampers effective management decisions and actions (e.g., the absence of adequate reporting on IOD incidents and cases).

Findings

- The department's need for computerization is basic and immediate. To develop programming for an automated personnel management information system based on existing forms, work flow, and procedures would be cumbersome, time consuming, and excessively costly.

Recommendation

1. Omaha should develop functional specifications for such a system to operate on the equipment at the county's data processing center and request proposals or bids from qualified system vendors. The city should consider undertaking this effort as a joint project with Douglas County in order to reduce system acquisition and operation costs while promoting maximum use of the system.

An outline of minimum functional requirements for a personnel management information system follows.

Personnel Information Management System Outline¹²

Development of detailed specifications for a personnel management system is not a function of this study. That is the job for the top management of the personnel department. At the minimum, the following functions, presented in outline form, should be considered for such a system.

a. Employee File

- * detailed information on all employees and retirees, including current status and permanent history

b. Applicant File

- * detailed information on all applicants
- * months/years history on-line
- * months/years history on tape

c. Detailed Activity Subsystems

- * Recruitment
- * Application
- * Testing
- * Interview
- * Selection/rejection
- * Hiring
- * Training/education/skills
- * Safety, including injury and death
- * Promotion
- * Classification status/change
- * Pay status/change
- * Disciplinary action
- * Insurance
- * Pension
- * Others as warranted

d. Reports. The employee and applicant files together with the activity subsystems should be used to generate a variety of required reports and analyses. These should include but not be limited to:

- * Active employees - detailed and summary
- * Retired employees - detailed and summary
- * Applicants - detailed and summary
- * Application status
- * Affirmative action (various)
- * Training/skills availability
- * Training courses available/conducted
- * Safety/IOD
- * Position vacancies

e. Inquiry. The system should provide the capability for users to perform unique inquiries using English language commands and to generate unique reports.

f. Analysis. The system should enable users to undertake a variety of statistical or other analyses, including:

- * performance standards vs. actual performance
- * safety and insurance analyses
- * test validity studies
- * forecasting and modeling (e.g., for labor negotiation and budgeting purposes).

g. Document Storage. Finally certain documents currently maintained manually should be computerized or stored in a word processing system:

- * Work or performance standards
- * Job analyses
- * Job classification system
- * Personnel rules and regulations (civil service and those affecting the three bargaining units)
- * Labor contracts
- * Tests
- * All standard forms
- * Personnel files.

K. Reception Area

The reception area in the personnel department is the first point of contact that citizens and employees alike have with the city's personnel system. The area contains a reception desk staffed by a member of the department who answers the telephone, greets persons entering the office, provides information to job seekers, and performs other functions. Several chairs ring the periphery of the area and two tables sit at the center. The tables contain listings of city jobs and are used by job candidates to review listings and fill out application forms. The area is rather small for its use and is drab in appearance.

Findings

- The role of the reception desk staff person is unclear.
- The room as designed is inappropriate for current uses.

Recommendations

1. A permanent receptionist position¹³ should be established and an existing staff person assigned to this position. In addition to telephone and greeting duties, the receptionist should be prepared to answer questions from job seekers, make referrals to other personnel department staff as warranted, provide job application forms to job seekers, and review returned application forms for completeness.
2. The personnel director should seek assistance from the planning department or an outside design consultant to enlarge or to change the configuration of the reception area and to improve its physical appearance.

L. Chapter 23 Considerations

Chapter 23 of the Omaha Municipal Code establishes the authority and limitations under which the city's personnel board operates, sets forth requirements for the administration of the city's personnel functions, and generally

ns the activities of the personnel department and departments in their personnel related activities. report presents a functional review of Chapter 23. review was not conducted to determine the legal efficacy of the chapter nor to address certain issues that considered part of the collective bargaining process.

With these caveats in mind, this report will offer a comments and suggestions regarding Chapter 23:

1. Sec. 23-51 should be amended to allow the city to appeal decisions of the personnel board. At present, only the employee can appeal decisions by the board.
2. Language should be added to the chapter to limit personnel board decisions to either upholding or denying the action presented to it by the city. At present, the board may either uphold, deny, or modify city actions.
3. Sec. 23-232 should be amended from the current rule of three to a rule of five.
4. Secs. 23-24, 23-191, and 23-198 appear to give the personnel director wide latitude and ample authority to undertake revisions of forms, reports, and procedures in the department and also to modify current testing practices. The authority provided in these sections should facilitate action by the director to

implement the recommendations made throughout this report.

Specifically with regard to Section 23-198, the director should establish procedures by which previous satisfactory employment with the city in either a seasonal, part-time, or temporary capacity becomes a factor to be considered when a person applies for regular employment. At present, seasonal, part-time, and temporary employees, even those with relatively long and highly satisfactory service, receive no consideration in hiring other than for having previously worked for the city. Failure to consider such previous work experience may limit the city's ability to employ highly qualified individuals in the regular city service.

5. Sec. 23-222 provides authority to the personnel director, with approval of the personnel board, either to extend or reduce the duration of employment lists. Discussions with the city attorney who serves the personnel department indicated that, although reducing the duration of a list has been relatively uncommon, the precedent exists and, in his opinion, such action is authorized.

The personnel director should take advantage of this section to shorten the duration of employment lists

in order to ensure that the city has the most qualified persons available to fill vacant positions. For some positions, one year may be too long for an employment list to function. By the end of the year, the city would be reaching well down the list for potential employees. A new list, on the other hand, would provide a greater opportunity for more well-qualified persons to be selected for city service.

6. A number of comments were received, especially from city department heads, regarding the perceived actions of the personnel board in matters involving disciplinary actions or terminations of employees. One common strand among these comments was the feeling that the personnel board operated primarily in the interest of the employees who were the subjects of discipline and not in the interest of the city.

A review of statistics involving board actions on disciplinary matters showed that some empirical evidence for these comments might exist. However, observation of the behavior of the board plus discussions with various parties in city government revealed a somewhat different picture--that of a concerned and conscientious board striving to render

fair and equitable decisions and of at least some disciplinary cases that were injudiciously brought before the board.

This leads to three related observations. First, Omaha needs to train its management and supervisory level personnel in their proper and effective functions. This includes training in interpersonal relations and training to enable these persons to take and document appropriate actions when disciplinary problems occur.

Second, leave abuse is a specific subject in the code. (See Sec. 23-366.) The code provides ample authority for management to investigate and take action in cases of leave abuse. Management in each department needs to be reminded of the existence of this authority and to be trained in proper methods of investigation of leave abuse.

Finally, the personnel department itself needs to become more directly involved in providing solutions to problems that may lead to disciplinary action in the operating departments. These solutions should include but not be limited to employee counseling and other assistance efforts, training for managers and supervisors, development of standards for documentation and other procedures for disciplinary

actions, and also ensuring that cases involving employee disciplinary actions are taken before the personnel board only when they are amply supported and justified.

FOOTNOTES

¹Donald F. Norris, Data Processing and Information Management in the City of Omaha: Analysis and Recommendations (Omaha: Center for Applied Urban Research, University of Nebraska at Omaha, June, 1982).

²Economy Task Force Report: Final Report and Recommendations, March, 1980; and City of Omaha Personnel Department Task Force Report, December, 1978.

³Several personnel changes occurred in the department during the period covered by this study. Most of the changes that, in the opinion of the study team, affected the findings or recommendations of this report are appropriately noted in the text.

⁴This statement is descriptive of current practices in the division and this definition of test is consistent with EEOC guidelines and APA professional standards. However, see the findings recommendations dealing with the division's emphasis on testing on the following pages.

⁵The present use of assessment centers for police sergeant promotions is required under a consent decree affecting recruitment and promotion practices within the Omaha police division. This recommendation, therefore, is directed at future promotion testing for police sergeants.

⁶A potentially useful model for the process recommended here was established in the fall of 1982 between the housing and community development department and the personnel department in the hiring of housing and community development technician I's used in project planning in the community development program. Here, HCD management reviewed application forms after screening by the personnel department, wrote elements of the applicant examination to test for specific areas of knowledge and ability, and administered and scored high written and oral portions of the examination. (The exams and scoring procedures had been reviewed and approved by the personnel department.) The process was both administratively effective and effective in ensuring that well-qualified candidates emerged in the top three positions on the eligible list. The only suggestions for improvement to this process are: (1) regularize it through development of written guidelines, (2) a personnel department representative should participate in all oral interview panels, and (3) extend the model to the hiring of all professional positions in city government.

⁷By the time of the writing of this report, the department had substantially changed the P-20 procedure. Currently, a P-20 request is checked to ensure that it has a valid position classification and that a budgeted vacancy exists. Once these criteria are met, the personnel director endorses the request and submits it to the mayor's office for approval. These changes are in line with the recommendations on page 21.

⁸The person responsible for P-20 investigation now holds a different position in city government. The benefits division manager currently conducts what remains of the P-20 investigation.

⁹Interviews with all city department heads revealed their perceptions of historically poor relationships and communications between the operating departments and the personnel department. The department heads also almost unanimously felt that under the present personnel director both communications and relationships have improved noticeably.

¹⁰Collective bargaining agreements stipulate that certain employees' reprimands and personnel actions against those employees can be removed by the employee after two years.

¹¹This equipment could also be shared by support staff in the benefits division.

¹²From Donald F. Norris, Data Processing and Information Management in the City of Omaha, Nebraska: Analysis and Recommendation (Omaha: Center for Applied Urban Research, June 1982).

¹³A staff person in a temporary job slot was hired by the personnel director to fill the receptionist position in the department. This action was taken shortly after the director accepted his position and during the period covered by this study. The receptionist position is expected to become a regular, full-time position within the near future.

APPENDICES

- A: Summary of Staffing and
Equipment Recommendations
- B: Summaries of Previous
Task Force Recommendations
- C: Records Disposition Management
- D: Contents of Typical
Personnel Files

Appendix A

Summary of Staffing and
Equipment Recommendations

Summary of Staffing and Equipment Recommendations

<u>Division/Function</u>	<u>Staff and/or Equipment</u>
Employment Division	See clerical/secretarial, reception area, and data processing recommendations below.
Compensation Division	Add one full-time personnel specialist (by converting a part-time position to full-time). Also see secretarial/clerical recommendation below.
Human Resources Division	See secretarial/clerical recommendations below.
Benefits Division	No additional personnel required.
Records Division	See secretarial/clerical recommendations below. Also add a microfilm capability.
IOD/WC/Safety	Establish and staff a risk management program with 5 new positions (1 risk manager, 1 industrial health professional, 1 additional safety inspector, 1 safety trainer, 1 insurance specialist).
Personnel Board	No additional personnel required. Install a word processor.
Secretarial/Clerical	Install a shared logic, dual station word processing system. Two full-time word processing operators and one backup operator are required to staff this function.
Data Processing	Install an on-line personnel management information system on the county computer system with terminals and printers in the personnel department.
Reception Area	Convert the temporary receptionist position to a full-time regular position and assign it to the new intake section of the employment division.

Appendix B: Summaries of Previous Task Force Recommendations

1. 1980 Economy Task Force Report
2. 1978 Personnel Department Task Force Report
3. Comparison of Similar Recommendations

1. Economy Task Force Report
March, 1980
Summary of Recommendations:
Personnel Department
City of Omaha*

General

- * Implement those recommendations of the 1978 study which do not conflict with the recommendations presented in this report. (p. 134, #15)
- * Rescind both executive orders and issue one that establishes an all-encompassing nepotism policy that can be effectively and consistently applied and monitored. (p. 128, #4)
- * Eliminate physical examinations for clerical, administrative, professional, and managerial new hires. (p. 130, #6)
- * Study the feasibility of establishing a capability for the city to process its own insurance claims. For medical bills a private company charges a 4.8% fee to the city for this service. (p. 134, #11)
- * Assign the responsibility of identifying alternative sources of funding and drawing up specific proposals to use those funds to an individual. (p. 136, #19)

*Prepared by Tom Jamieson

City

- * Implement safety recommendations contained in City of Omaha, Personnel Department Study, Dec. 1, 1978.
- * Develop a reporting procedure for vehicle and property damage accidents.
- * Increase control over persons on IOD leave. An estimated 30% reduction could be obtained.
- * Negotiate with bargaining units to keep IOD from deviating any further from state workers' compensation laws.
- * Amend title VII article on IOD to be more in line with workers' compensation laws.
- * Require all personnel who drive city vehicles to complete the defensive driving course. (p. 126, #1)

Labor Relations

- * Increase control over sick leave policy.
- * Negotiate with bargaining units to bring sick leave more in line with plans of Omaha companies.
- * Amend Title VII article on sick leave to bring it more in line with plans of Omaha companies. (p. 126, #2)
- * Reaffirm the purpose of sick leave and discontinue rewarding people for not taking it. (p. 128, #3)
- * Revise policy to pay only the difference between military pay and normal city pay for city employees on military leave. (p. 134, #13)
- * Leave provisions afforded city employees appear quite liberal when compared with those of local business. Control leave provisions when negotiating with bargaining units. (p. 136, #17)
- * Negotiations on behalf of management should be conducted only by non-classified employees who are highly unlikely to move into classified service. Labor contracts should be provided all supervisory personnel with instructions on their interpretation and implementation. (p. 136, #18)

Performance Appraisal and Job Evaluation

- * Establish individual job performance standards with each employee of the department, set specific goals and objectives, clearly communicate the mission statement of the department, and conduct individual performance reviews at least once each year.
- * Establish written performance goals for each city employee.
- * Provide oral and written feedback on performance of all city employees. Maintain written performance reviews in employee's personnel record.
- * Classify jobs according to a quantifiable system to all for objective allocation.
- * Update all job descriptions.
- * Review job descriptions and their allocations biennially.
- * Review structure of organization biennially and eliminate unnecessary tasks, activities, and positions.
- * Tie salary increases for management into a performance appraisal system. Negotiate a salary system based on performance appraisal with bargaining units. Broaden salary ranges to allow for a longer period of time to elapse before an employee reaches the maximum in the range.

(p. 132, #9)

Training

- * Give supervisors training on how to take disciplinary action against employees.
- * Design regular long-term technical training programs and implement to meet the needs of the departments and job classifications identified by the recent training needs analysis.
- * Centralize budget and control of audio-visual equipment in the training division.
- * Centralize all training records.
- * Implement training recommendations contained in the Dec. 1, 1978, personnel department study.

(p. 132, #10)

Monitor city employees' attendance at personnel board meetings to ensure that their presence is required under Title VII, they have been subpoenaed to appear, or they are on regular leave.

(p. 130, #7)

Train members of all boards annually in their boards' missions, objectives, procedures, and practices.

(p. 134, #14)

Limit personnel board's power to review and conduct hearings to cases involving discharges and suspensions over 14 days.

(p. 136, #16)

Testing and Hiring

Do not send position-open announcements to designated agencies when it is apparent the position will not be filled by an outside applicant.

Limit mailing list for position-open notices to those agencies required by law and those with a record of referring qualified candidates.

Limit taking of applications and testing to those eligible for employment under the mayor's established guidelines.

Discontinue individual test notification process (registration process).

Control applicant flow and testing by accepting applications for a limited time period (10 days) once each quarter.

* Establish a personnel service division responsible for delivery of personnel services to the departments.

* Interpret Title VII in line with modern personnel practices which eliminate redundant and unnecessary activities.

* Direct affirmative action recruiting efforts toward those agencies which primarily refer individuals of the desired affected class.

(p. 130, #8)

Testing

* Cross-train individuals in the compensation division's job studies and the employment division's job analyses to gather all the data necessary to complete a job study and a job analysis at the same time.

(p. 128, #5)

* Eliminate testing which rank-orders candidates.
Combine tests for jobs which require the same basic
skills, knowledge, and abilities.

(p. 134, #12)

2. Task Force Report on the City of Omaha
Personnel Department
December 1978
Summary of Recommendations

EEO AND AFFIRMATIVE ACTION

1. That the current administration (mayor and city council) formally and forcefully revalidate its commitment to affirmative action, and that this be done annually thereafter.
2. That the function of affirmative action for internal city staff be transferred to the personnel department. (See proposed organization chart.)
3. That the division manager-affirmative action programs be empowered to coordinate the establishment of forms, goals and timetables within each work group of the city, setting up a program of periodic review and follow-through.
4. That department directors and all management employees be held accountable for the attainment of affirmative action goals.
5. That a series of orientation/education meetings or seminars be held for all city employees, management, and staff on the meaning of equal opportunity and affirmative action.
6. That the current affirmative action program be expanded to include the handicapped as well as veterans.
7. That the affirmative action committee be reconstituted to include the mayor's cabinet, with the charge to review and oversee implementation of all affirmative action policies, and provide direction and support to the affirmative action officer.
8. That specific directed programs of affirmative action be implemented within the police and fire service.
9. That the use of a polygraph test for police and fire employees be discontinued in view of the disparate impact (almost total bar) it is having on racial minorities.

TRAINING

10. That the city address training at a policy level to determine priorities, objectives, and organization with the necessary staffing and budgeting allocated in support.
11. That said policies be implemented and communicated throughout the management of the city, including police and fire.
12. That the training group develop a comprehensive training needs analysis and base future programmatic efforts on this.
13. That the training group reassess its efforts in management training and in OD as a priority, and redirect resources to a more basic program of skills development, as well as management/supervisory training.
14. That authority and budget for tuition aid reimbursement be housed within the training group.
15. That training as it exists in police and fire be more effectively coordinated in all respects with the personnel department, to the extent of becoming a joint accountability rather than an accountability of those departments alone.
16. That coordination be initiated with the affirmative action section in order to develop a program of training and orientation of all city employees on affirmative action and EEO subjects.

SAFETY

17. Appoint a professionally trained and experienced safety coordinator in the personnel department with the expertise to develop and implement a comprehensive training program.
18. Establish accountability at all levels of management in all departments to support and carry out policy, practices, and training requirements.
19. Standardize the reporting of accidents and injuries and maintain a central file in the personnel department.
20. Establish that all persons driving city vehicles shall complete the defensive driving course and be scheduled for periodic refresher training.

21. That the personnel department retrieve accident information from the data system, interpret the information, and develop meaningful reports for use by all departments.
22. Analyze present injury data, and set specific numeric objectives with assigned accountability to substantially reduce present injury frequency rates.
23. Amend the present policy to permit returning injured employees prior to total recovery by assigning the individuals to duties they can perform. Provide that the individuals receive their normal rate of pay during the temporary assignment period or until they are returned to their regular assignments. In addition, the period employees can receive full benefits should be re-examined to encourage prompt return to work after recovery.

RECRUITING, EMPLOYMENT, TESTING, AND PLACEMENT

24. That the personnel department be allocated a budget sufficient to allow for some advertising and recruiting expenses to insure that (a) the city is effectively tapping into all skill levels of the job market and not relying exclusively on those who might be unemployed or otherwise seeking work, and (b) to insure the city's capability to follow through with affirmative action efforts.
25. That the city of Omaha prepare a general informational brochure describing city organization, benefits, and other conditions of employment so as to be facilitative of effective recruiting.
26. That the city specifically recruit, even in an informational sense, at local colleges, junior colleges, vocational schools, and high schools. The target population for this effort would be professional level, hard-to-fill jobs.
27. That the present "registration" procedure be re-examined to insure that it is not practicing "red tape" by allowing too many individuals to apply for city employment when actual requirements are non-existent for all practical purposes, and their chances of being the successful applicant are remote.
28. That the recruiting/employment process for the city of Omaha not be limited to applicants who reside within the current geographic boundaries of the city.
29. The preparation and maintenance of the remaining 116 tests is costly. This number could be reduced by grouping jobs that require similar knowledge and abilities and using one test for a family of jobs. For

example: One test could be used for clerk I and II and clerk/typist I and II. If a job requires a specific skill, i.e., typing or shorthand, an additional test could be administered as required.

30. Current procedures involve unnecessary processing of hundreds of applicants. With or without the hiring freeze, job postings should be limited to current city employees unless this does not produce qualified candidates for the opening.
31. That the jobs which are posted merely to fill an expired or depleted eligible list where there is no actual vacancy be permanently displayed under a heading that informs potential respondents of this fact.
32. That the "rule of three" be re-evaluated in the light of sound psychological measurement principles and recent court decisions.
33. That the selection process be monitored and evaluated at each step for "adverse impact" and to determine the need for validation and process change.

CETA AND ITS RELATIONSHIP TO THE PERSONNEL DEPARTMENT

34. That the process of transitioning be simplified so as to minimize the unnecessary paperwork involved with posting and developing nominees for jobs where an incumbent in place stands to be assigned.
35. That CETA channel its workings with the city of Omaha through the personnel department instead of directly to each department head.

EMPLOYEE ASSISTANCE PROGRAM

36. That the function be organizationally formalized and solidly established within both the city structure and personnel department. Even if assigned as an additional duty, the responsibilities and job description accountabilities should be made clear to all concerned and communicated as widely as possible.
37. That the employee assistance program follow through with present plans to add a full-time counselor as soon as

LABOR RELATIONS

39. Appoint a labor relations manager within the personnel department with the skills, training and experience to conduct negotiations and chair the city negotiating committee with police, fire, and civilian workers' bargaining units. Bargaining teams should include appropriate managers but exclude all directors and the comptroller.
40. The budgeting process should not identify specific amounts allocated to contract negotiations.
41. Negotiations in any bargaining unit should not be subject to open meetings.
42. Contract interpretations should be made only by the labor relations staff and should be documented for future reference.
43. Amend the appeals from disciplinary action, complaints, and grievances paragraphs of Title VII, Rules and Regulations, to exclude classified employees represented by the police, firefighters, and civilian workers' bargaining units. All other classified employees should continue to have access to the present provisions of Title VII. Also, strive to negotiate a common grievance and arbitration article in all bargaining units.
44. The training division should design and institute training for all managers in handling grievances, administering the labor contract and developing effective supervisor/union representative relationships.

COMPENSATION, PERFORMANCE APPRAISAL, AND JOB EVALUATION

45. That the city introduce an employee appraisal plan requiring that employees be formally appraised by their supervisors at least once each year. The appraisal plan should include these features at a minimum:
 - a. A definition of the employee's total job in terms of responsibilities and functions.
 - b. The means of measuring how effectively the employee performs the job.
 - c. Established levels of performance and a means to insure communication to the employee.
 - d. A review procedure which periodically provides feedback to the employee.
 - e. An inclusion of employee aspirations and development needs, as well as promotability.

46. That the city establish a separate evaluation plan for non-management and management positions, using only one form for each group.
47. That the city consider job performance as a primary factor in selecting candidates for promotion or transfer, based on the current appraisal.
48. Identify comparable labor markets, i.e., the source of recruitment, local, regional, or national, relevant to the city of Omaha for purposes of compensation comparisons, and establish Omaha's policies accordingly.
49. Establish a merit salary administration system that measures and rewards performance while also dealing with poor performance.
50. For management positions, provide rate ranges that have minimum and maximum rates that allow for rewarding different levels of performance and a longer time frame to reach maximum rate. For non-management positions, consider 4-year fixed progression wage schedules in 6-month intervals. Although fixed progression usually becomes automatic versus based upon merit, at least the employee would not reach maximum rate at the end of one year of employment.
51. Construct a plan whereby all job descriptions would be brought up-to-date and maintained.
52. Involve a cross section of city management in the evaluation process. This can be accomplished by organizing a committee that meets on a scheduled basis, chaired by personnel, to allocate or reallocate positions.

BUDGET

53. Establish the budget proposal based upon the upcoming year's objectives.
54. Provide budgeted dollars for each division with the department.
55. Charge department expenditures to more specific accounts that better describe their purposes, rather than lumping costs into accounts that allocate monies to several activities.
56. Provide separate totals for items accumulated but not budgeted within the personnel department.
57. The personnel director should seek approval and discuss the department's budget with the mayor (his organizational superior). The finance department should not be

in a position to allocate resources or managerially control programs by making financial decisions, nor should their input extend beyond financial considerations, nor should it carry the weight of final decisiveness.

PERSONNEL RECORDS

58. Evaluate input documents, using original source document for input as often as possible.
59. Analyze manual record systems to check on duplication with computer systems, their efficiency, and whether they are truly necessary.
60. Define the information needs of all city departments (including personnel). Analyze the costs versus benefits of using a computerized or manual system to provide the data.
61. All manual records pertaining to employees should be centralized in the personnel department. Presently, many supervisors are maintaining their own files.
62. The manual records on employees should be purged to eliminate unnecessary and illegal information. A review of privacy legislation will provide guidelines. A city-wide policy in this respect should be researched, adopted, communicated, implemented, and enforced.

3. Task Force Reports
of 1978 and 1980
Comparison of Similar Findings

The greater Omaha Chamber of Commerce, Economy Task Force Report, March 1980, concluded that:

- * A study of the personnel department was completed in December, 1978. This comprehensive study resulted in a number of excellent recommendations for increasing the performance of the personnel function. To date very few of these recommendations have been implemented.

RECOMMENDATION:

Implement those recommendations of the 1978 study that do not conflict with the recommendations presented in this report.
(page 134, #15)

*Prepared by Tom Jamieson

comparison of these two reports revealed eight (8) common findings. These areas were:

1. Safety
2. Testing
3. Employment Applications
4. Performance Appraisal
5. Training
6. City Boards
7. Labor Relations
8. Budget

The following report findings were extracted from the complete text findings of both reports.

1. SAFETY

I. Task Force, Dec. 1978, Findings: Safety (pages 14 and 36)

- * The task force could uncover no basic safety policy, standardized procedures or emphasis on safety at the upper levels of management. Formal training of supervisors and employees to insure that safety requirements are met is not provided.

II. Economy Task Force, March 1980, Findings: Safety (page 126)

- * Implement safety recommendations contained in the task force Study, December 1, 1978.

2. TESTING

I. Task Force, Dec. 1978, Findings: Testing (page 16)

- * Title VII of the Omaha Municipal Code requires selection procedures that reflect the knowledge, skills, and abilities required to perform the job. In order to meet this requirement, the city personnel department uses a different examination for each position (249).
- * This number could be reduced by grouping jobs that require similar knowledge and abilities and using one test for a family of jobs. For example: One test could be used for Clerk I and II and Clerk Typist I and II. If a job requires a specific skill, i.e., typing or shorthand, an additional test could be administered as required.

II. Economy Task Force, March 1980, Findings: Testing
(pages 128 and 134)

- * Compensation's job studies and testing's job analyses have the potential to overlap. Although each area gathers different types of information, the data-gathering process is relatively similar.
- * The city tests extensively. In a number of cases, tests are not used to screen applicants but rather to rank-order candidates for referral. Different tests are designed and used to test applicants for different positions that are basically similar in requisite skills, knowledge, and abilities.
- * Eliminate testing that rank-orders candidates. Combine tests for jobs that require the same basic skills, knowledge, and abilities.

3. EMPLOYMENT APPLICATIONS

I. Task Force, Dec. 1978, Findings: Employment Applications
(page 16)

- * The city personnel department receives applications from employees and applicants and conducts tests as required. Test-qualified individuals are placed on eligibility lists which are transmitted to the department when an opening occurs.
- * This procedure appears to generate a more than adequate pool of candidates, at least from the numbers standpoint for most positions in the entry-level bargaining unit job categories.
- * Applicants are informed of the hiring freeze; however, this does not discourage the majority as 72% elected to continue processing and take the test.

II. Economy Task Force, March 1980, Findings: Employment Applications
(page 130)

- * The employment division takes applications any time during the year when the need for applicants arises. When the need does not exist, job seekers are allowed to complete a registration form. When a vacancy opens registrants are notified by mail.
- * With the mayor's hiring freeze in effect and executive order V-16-69 establishing the current referral method

used by the personnel department, the city is encouraging many more people to apply for positions from outside than is necessary to meet employment needs. A great deal of effort is expended recruiting, interviewing, and testing applicants who stand no chance of being hired.

4. PERFORMANCE APPRAISAL

I. Task Force, Dec. 1978, Findings: Performance Appraisal and Compensation (pages 23-25)

- * Since no effective performance evaluation system exists requiring that job performance be formally evaluated at least annually, current performance is not given consideration in transfer and promotion selection processes.
- * The present program of evaluation apparently does not incorporate the desired degree of motivation and incentive. Employees are not encouraged to do more once the maximum rate of authorized pay has been reached.
- * No formal performance evaluation is required after an employee reaches the maximum rate of his/her job.
- * The present compensation system makes it virtually impossible for "merit principles" to be applied. Most job rates are based on relatively short time progression periods to rate range maximums (e.g. 18 months) or are single rated. There is at most only a 6% differential between the starting and top rate.

II. Economy Task Force, March 1980, Findings: Performance Appraisal and Compensation (page 132)

- * Performance goals are not established and performance reviews, if conducted, are not based on a standardized objective system. This lack of goals is found at both the individual and organizational level. Salary increases appear to be a function of longevity in a particular job as opposed to merit. Salary ranges are too small to provide for appropriate merit increases. Most employees reach the maximum rate in their range in a relatively short period of time.

5. TRAINING

I. Task Force, Dec. 1978, Findings: Training (page 12)

- * If the training group sets up a particular program for a line department, that department appears to then be responsible for bearing the training costs. There is no budget for training materials, specialized equipment, or program development.
- * The main thrust of the training agenda prepared by this group appears to be toward the general education of staff, professional, and managerial personnel. The division offers nothing in the way of skill development or other programs directed toward specific needs of City jobs.
- * Within the civilian components, it is more likely that training does not in fact go on in any organized manner. However, special comment is due the police and fire departments.

II. Economy Task Force, March 1980, Findings: Training (page 132)

- * Existing training programs appear to be quite satisfactory in their content, but the number of civilian programs fall short of what is actually needed, especially in the technical and safety training areas. There is very little growth in the training area and civilian programs have little impact due to lack of financial resources and management support. Supervisory development programs lack guidelines or requirements as to what should be taught to supervisors. This is evidenced by such things as the failure of supervisors to take disciplinary action due to a lack of understanding of the proper procedures to be used.

6. BOARDS

I. Task Force, Dec. 1978, Findings: City Boards (page 36)

- * The City of Omaha Charter provides that the personnel board is the final authority in all appeals by employees. The board also has the responsibility to advise the mayor, personnel director, and the city council on personnel administration and procedures.

- * Very little, if any, time is devoted to advising the administration on personnel practices, reviewing appointments or other related personnel service areas. Currently the board is primarily handling employee appeals and approving compensation charges. New board members are not informed concerning their duties, board procedures, or furnished resource material to assist them in understanding their role.

II. Economy Task Force, March 1980, Findings: City Boards
(pages 134 and 136)

- * There is a lack of consensus among members of various city boards as to the boards' respective missions, objectives, procedures, and practices. New board members receive no formal orientation, making it difficult for them to become productive in a short period of time.
- * The personnel board conducts hearings on all types of disciplinary actions. The merit systems protection board, which reviews disciplinary action against federal employees, conducts full hearings only on discharges and suspensions of more than 14 days. Because the personnel board handles so many disciplinary cases, including minor ones, it has very little time to do anything else.

7. LABOR RELATIONS

I. Task Force, Dec. 1978, Findings: Labor Relations
(page 20)

- * The labor relations division of the personnel department is not directly involved in conducting bargaining. Yet, once agreement is reached, they are responsible for interpreting and implementing contract provisions.
- * A potential problem in assigning responsibility for negotiations to the department director is that it establishes a possible conflict of interest in the bargaining process, since there may be a tendency to enhance departmental status. The task force views it as inappropriate to include the director of finance or the comptroller as a member of the bargaining committee.
- * In the area of contract administration, approximately 75 copies of the contracts are printed and sent to

department heads for distribution. All supervisors do not receive a copy for their use in managing the day-to-day job. Contract interpretations are made by the labor relations staff but are not documented for future reference.

II. Economy Task Force, March 1980, Findings: Labor Relations (page 136)

- * Although labor negotiations are conducted on behalf of management by non-classified employees, a large percentage of these non-classified employees move into classified service when a new Mayor is elected. Because classified management employee salary increases are closely related to increases awarded to the bargaining units, there is a potential conflict of interest in this system. Supervisors responsible for implementing labor contracts are not given instructions on their interpretation and implementation.

8. BUDGET

I. Task Force, Dec. 1978, Findings: Budget (page 27)

- * There is one overall budget for the department. The divisions have no funds allocated to them per se. The budget is flexible within the department; expenditures can be switched between the various divisions. The most apparent aspect of the personnel department's budget is the absence of funding allocated to other than payroll.

II. Economy Task Force, March 1980, Findings: Budget (page 136)

- * The personnel department currently has no one assigned to seek alternative sources of funding, i.e., government grants, which are sometimes made available for specific projects or for the improvement of continuing activities.

Appendix C
Records Disposition Management

Technical Bulletin No. 14
International Institute
of Municipal Clerks
and
Record Management Guide
City of Tacoma, WA.



160 North Altadena Drive, Pasadena, Cal. 91107

RECORDS DISPOSITION MANAGEMENT

H.B. Bond, CMC,
City Clerk
Director of General Services
Tacoma, Washington

What is Records Management?

Traditionally, Records Management dealt primarily with the housing of inactive records and their disposition. But, as time evolved it became evident that Records Management crossed over into files, forms, reports, and other informational areas. A more contemporary definition might be as follows:

Records Management is that function of administrative management concerned with the creation, processing, maintenance, protection, retrieval, retention, preservation and disposition of records, and recorded information, regardless of media, required for the operation and continuance of government operations at costs consistent with the services involved.

Records Disposition Management is a paperwork management technique aimed at the systematic, timely and effective disposal or removal of obsolete or inactive records from expensive office space, and the effective, economical, preservation of records of permanent value.

Objectives:

Save Space:

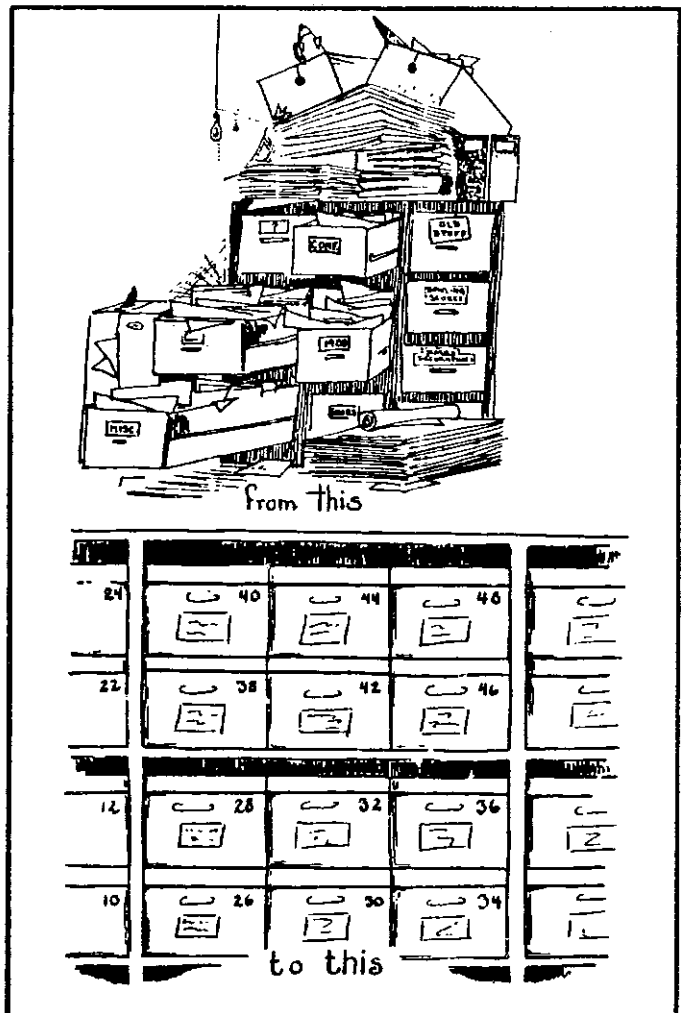
- Remove from office space records not required in daily operations.
- Remove from storage area records no longer of value.
- Systematically move records from costly office space to a low cost Records Center, and hence to ultimate disposal or archives.

Save Money:

- Provide lower cost storage space for less active records.
- Release surplus filing equipment for reuse.
- Reduce or eliminate the need for new filing equipment.

3. Save Time

- Know what records exist and where they may be quickly located.
- Provide an orderly method of storing less active records by trained Records Center personnel.
- Find active records more easily after removal of inactive material.



Establishing the Program

Secure agreement of Agency Management on the objectives of the program.

Management should notify key personnel that the program is being inaugurated.

Establish agency records management responsibilities.

Basic Steps in a Records Disposition Program

INVENTORY - The purpose of the inventory is to establish a stock of what records are on hand, to determine how rapidly they are expanding, what their function and contents are, where they are duplicated, etc. Without this information there can be no effective records disposition.

APPRAISAL - On the basis of information gathered in the inventory, each identifiable record series can be appraised for its legal, financial, administrative and historical value, permitting the establishment of . . .

RETENTION PERIODS - Identify the time at which removal of records can take place from active office files.

RECORDS SCHEDULE - The Records Retention and Transfer Schedule is the agency's written plan for its records disposition program.

RECORDS DISPOSITION APPROVAL - All public records are the property of the state and as such their disposal must be authorized both administratively by the agency and the State Records Committee.

APPLICATION OF SCHEDULES - The application of disposition schedules implies the actual physical transfer, microfilming, and/or disposal of records according to the written schedule plan.

Tacoma's Approach

Document what you find.

Quantify its cost in hard and soft dollar savings.

COST SAVINGS

1. Cost of file equipment released for reuse through program.
2. Cost of floor space converted or released for reuse.
3. Savings achieved by eliminating handling of inactive records.

Tacoma's Experience

In establishing a Records Center for inactive records, we have found that, generally, the following happens to scheduled records:

- One-third of the records can immediately be destroyed.
- One-third of the records can be transferred to inactive storage.
- One-third of the records should be retained in the active files.

The first year, we transferred the contents equivalent to 800 five-drawer filing cabinets to the Records Center. This freed an estimated \$120,000 investment in filing equipment. We eliminated the need to purchase new file cabinets for some departments. In other departments, which had no room to add file cabinets, we eliminated the need for finding new floor space.

A spin-off of records scheduling for Tacoma was the documentation of similar records problems in numerous departments. Now, for the first time, paperwork costs can be measured, alternatives can be weighed, and needless or duplicate paperwork and records can be identified and estimated.

Conclusion

The negative effects of the paper explosion are becoming more evident as the cost of producing and retrieving information goes up along with the difficulty of understanding and compiling all pertinent facts from diversified sources.

Secure Agreement

AGENCY ADMINISTRATIVE PRACTICE Suggested Format and Content

Subject: Records Disposition Management

I. Purpose

To establish the policy and procedure for the identification and systematic retirement and/or disposal of obsolete, inactive, semiactive and archival records from costly office space and equipment.

II. Divisions Affected

All Divisions

III. Policy

It is agency policy to promote efficient records management practices. All agency records should be inventoried and analyzed for administrative, legal, financial and historical values to insure that:

1. only active records are retained in high cost office space
2. that valuable historical records are adequately preserved
3. that inactive and semiactive records are removed to low cost records center storage,
4. and that obsolete records are destroyed in accord with authorized retention schedule and after approval is received from unit director and archives director.

IV. Definitions:

PUBLIC RECORDS:

"Records" can be defined to include any paper, correspondence, form, book, photograph, film, sound recording, map, drawing, or other document, regardless of physical form or characteristics, and including all copies thereof, that have been made by any of your agencies or received by it in connection with the transaction of public business.

RECORDS MANAGEMENT:

The application of administrative management techniques to insure the adequacy, propriety, essentiality, and efficiency of documentation, and records maintenance and disposition.

RECORDS DISPOSITION MANAGEMENT:

Records Disposition Management is a records management technique aimed at the systematic, timely and effective disposal or removal

AGENCY RECORDS OFFICER:

An individual appointed by the agency director to supervise and coordinate an agency's records management program, to serve as liaison with the division or archives.

RECORDS COORDINATOR:

An individual assigned to the division level of an agency who coordinates the records management program between the records officer and the sections of the division.

ADMINISTRATIVE VALUE:

Records are created to help accomplish the functions for which an agency is responsible. They have administrative value as long as they assist the agency in performing either current or future work. The primary administrative use of most records is exhausted when the transactions to which they relate have been completed. From that point on they lose their value rapidly. However, some administrative records contain basic facts concerning an agency's origin, policies, functions, organizations, and significant administrative decisions. These records should be preserved to provide adequate documentation of an agency's operations.

FISCAL VALUE:

Records of fiscal value are those which pertain to the financial transactions of the agency, such as budgets, ledgers, allotments, payrolls, and vouchers. After those records have served their basic function, they may still have sufficient fiscal value to justify their retention in storage for a time to protect the agency against court action or to account for the expenditure of funds.

LEGAL VALUE:

Records have legal value if they contain evidence of legally enforceable rights or obligations of the State. Examples are of decisions and opinions; fiscal documents representing agreements, such as leases, titles, and contracts; and records of action in particular cases, such as claim papers and legal dockets.

RESEARCH, HISTORICAL, OR ARCHIVAL VALUE:

Some records have enduring value because they reflect significant historical events or document the history and development of an agency. The importance of preserving such records is obvious. Not so apparent, however, is the need to examine critically those

Subject: Records Management Program

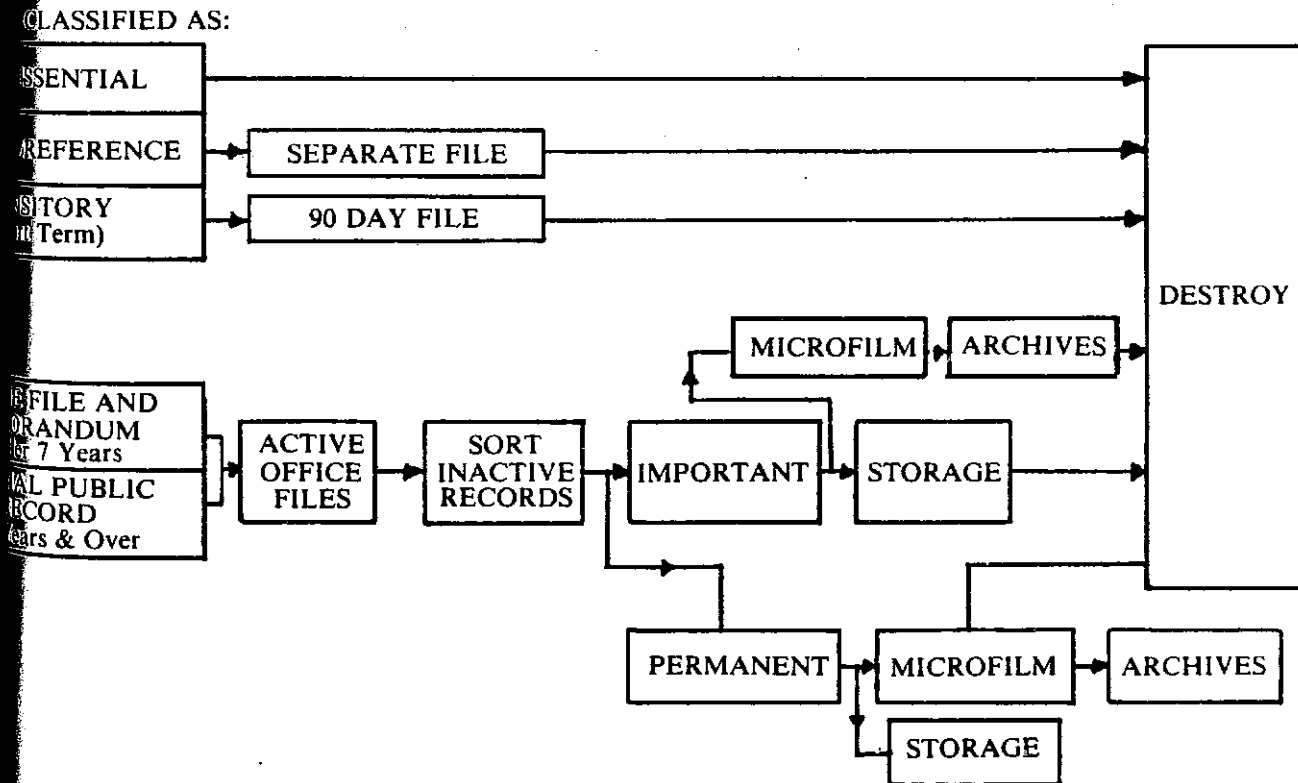
All governmental agencies are experiencing an information and paperwork explosion. It is, therefore, the policy of this agency to encourage efficient and economical paperwork practices. This policy will be manifested by compliance with the appropriate laws relative to the retention, disposal and protection of all agency records.

It is believed that a formal records disposition management program will help us in several ways. It will develop effective guidelines for the timely disposal of obsolete records. It will reduce the requirement for new file equipment, release present equipment and space for other uses, save time in file handling, and insure the preservation of essential and permanently valuable records.

To initiate and maintain a more effective program, (name of individual) has been appointed as agency records officer. (Name of individual) has the full support of agency management in this effort and will be calling on department directors. I want to thank you in advance for your cooperation.

Director

Records Retention and Destruction Flow Chart



Establish Management Responsibilities



GUIDE

File in Section: ADM 900

No. 44

TO: Department Heads

SUBJECT: Transfer, Retrieval and Disposition of Inactive Records

1. **PURPOSE:** To outline policy on transferring documents to the Records Center, document retrieval, and the authorized destruction of City records.
2. **REFERENCE:** RCW 40.14.010 through 40.14.080;
RCW 42.17.260 and 42.17.310;
City Charter, Section 3.7;
City Code, Section 1.06.100 A (1) and (5).
3. **PUBLIC RECORDS DEFINED:** Public records means any paper, correspondence, form, book, photograph, film, sound recording, map drawing, or other document regardless of physical form or characteristics, and including all copies thereof that have been made by any agency or received by it in connection with the transaction of public business, excepting those which may by law be deemed privileged or otherwise restricted.
4. **BACKGROUND:** The Records Center provides low cost storage for inactive records that must be kept, but which normally require little or no reference. The Records Center frees the use of expensive office space and filing equipment to the active records.

NOTE (1): Records should be removed from the files that serve no administrative, legal, financial, or historic value to the City.

NOTE (2): Protection and accountability of departmental records require that standard procedure be followed in the transfer and referencing of all City documents.
5. **RESPONSIBILITY:**
 - a. **Records Management** -- This office assists departments in determining records to be transferred, space requirements, statutory retention periods, and establishing destruction schedules. Records Management maintains an index of documents housed in the Records Center. It destroys records in conformity to State regulations and only upon Department Head approval. It destroys records under supervision of authorized personnel.
 - b. **Departmental Records Coordinator** -- Each Department Head should appoint a Records Coordinator. This staff member determines when items are to be moved to the Records Center and prepares records for transfer.

C/M (1-77)

(continued)

NOTE: Only those records that are accompanied by a completed Records Transmittal and Receipt (CLK 500) can be admitted to the Records Center. Boxed items must be stored in appropriate containers, and ledgers properly labeled. It is the responsibility of the Department Head to insure that contents of boxes and ledgers agree with the description of documents as shown on CLK 500.

6. INDEX: Upon request to Records Management, each department can be supplied an index of its documents housed in the Records Center. The index reflects, as closely as practical, those items located in the Records Center.
7. TRANSFER-RETRIEVALS: Please contact Records Management (Ext. 4688) when you have documents for transfer to the Records Center (710 Pacific Avenue), or must have items retrieved. The Records Center hours are on Monday, Wednesday and Friday (1:00 to 3:00 p.m.). However, emergencies will be handled on an individual basis.
8. AUDITORS: Departments may send outside auditors and staff members to the Records Center to check appropriate records. Please call Records Management in advance (Ext. 4688). Individuals removing documents must sign out for them in the Records Center Log Book.

NOTE: It is the responsibility of the Department Head to insure that these searches are restricted to appropriate documents.

9. RECORDS DESTRUCTION: The City must comply with the State Public Records Retention Schedule and Authorization. Copies of the schedule are available in the Records Management Office (Ext. 4688). Department Heads can keep records for periods longer than shown in this schedule if this is necessary for the City's protection.
10. TRANSPORTATION EXPENSES: Departments are responsible for all Motor Pool expenses incurred in moving and retrieving documents outside of normal Records Center hours.
11. GLOSSARY:

Archives: This includes inactive public records which reflect the cultural or historic growth of the community and which still possess legal and business importance to the City.

Municipal Reference Library: This is a central repository of City information concerning the conduct of City government. This includes copies of published reports, minutes of meetings and studies (including those prepared by outside groups). Municipal Reference Library information is available to citizens, except those parts that could violate an individual's right to privacy.

Public Records: Please see paragraph 3.

Records Center: This is an inactive storage area and includes those items not sent to the Municipal Library. Additional descriptive information on the Records Center is contained in paragraph 4.

Records Retention Schedule: This is a listing of each department's records by type. It represents the minimum period that these items must be kept by the City. The Records Retention Schedule listing is approved by the Department Head (or an individual named by the Head), and the Local Records Committee of the State of Washington.

12. QUESTIONS: Please refer those to Records Management (Ext. 4688 or 4694).

Establish Agency Responsibility



GUIDE

File in Section: LEG 800

No. _____

TO: Department Heads
SUBJECT: Municipal Documents Center

1. REFERENCE: RCW 42.17.250 and RCW 42.17.310
2. BACKGROUND: The records collection is the nucleus of the City's Management Information System. It is a cumulative assembly of current and archival City reports and associated materials.

The collection is managed by the City Clerk's office and houses many of the Official Public Records (OPR) of City government. The City Clerk's Office, in conjunction with the Records Management Division and City Archives, assists departments in complying with public disclosure legislation through:

- a. Maintaining a current index of materials filed in the Documents Collection.
- b. Providing sufficient space to house necessary City reports.
- c. Providing a central location for departments and citizens to reference municipal records.
- d. Maintaining a Records Center for holding large volumes of inactive City records that legally must be retained.
- e. Providing an Archives for records depicting the historic growth and development of City government.

The documents collection needs specifically items that reflect a department's or program's purpose, growth, continuity and historical significance to the community.

3. DEPARTMENT RESPONSIBILITY: Each department or other City agency must appoint a knowledgeable staff member to act as its "Public Records Officer." This individual is responsible to see that a report index sheet is complete prior to printing and that three copies of each required document are placed on file with the City Clerk. Restricted documents falling within the intent of RCW 42.17.310 (protecting an individual's right of privacy) must be identified as "Not for Public Disclosure" at the time of transmittal. The public will not have access to restricted documents without a court order or other approved procedure.
4. REPORT INDEX SHEET: Every "Official City Report" must have a completed index sheet prior to the report being printed and submitted to the Tacoma City Document Collection. The City Council and City Manager's Office will not accept internal City reports without this index sheet.

(Continued)

- CITY CLERK ACTION: Upon receipt, reports are assigned a reference number, indexed and filed. One copy is designated the Official Public Record (OPR) and is not available for reference. The other two copies are filed for reference in the City's Archives located in the Tacoma Public Library. If only one copy of a document is received, it will be designated the OPR. Reference to this record will be under controlled conditions or limited to convenience copies.
6. INDEX MAINTENANCE: The City Clerk's Office will maintain a current index of all material in the document's collection. Once a year, departments will be sent an updated copy of the index containing their contribution to the documents collection. The Department's Public Records Officer is charged with updating and verifying the authenticity of the index.
7. TYPES OF DOCUMENTS REQUESTED: The following is a list of the types of material that should be sent for the City of Tacoma Documents Collection:
- a. Annual report of all departments and agencies of City government.
 - b. Special report prepared by or for the departments and agencies; e.g., planning documents, consultants' reports, special studies, etc.
 - c. Proceedings and minutes of City boards, commissions and councils.
 - d. Municipal Court Reports
 - e. City Charter and its amendments and revisions
 - f. Rules and regulations set forth by special boards and committees.
 - g. Documents prepared by special district authorities and regional councils operating in the City.
 - h. Documents prepared by County, State, and Federal government agencies which pertain to the City or departmental activity.
 - i. Periodicals published by the City departments and agencies. This includes also all documents published in looseleaf form.
 - j. Archival or other materials that document the growth or function of City departments.
8. QUESTIONS: Please refer these to the City Clerk's Office, Ext. 4585.

**PUBLIC RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**

REFERENCE: RCW 40.14.040

DISPOSITION AUTHORITY NUMBER
PAGE 2 OF 6

LOCAL AGENCY: OFFICE OF RECORD Comprehensive Employment Services
NAME & TITLE OF RESPONSIBLE OFFICER: Alfred Starr, Assistant Director
DATE: 10/12/77

SERIES TITLE & DESCRIPTION	OPR or OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILM?	RECORDS COMMITTEE AMENDMENTS OR REMARKS
		PRIMARY COPY	OTHER COPIES				
or Grants/Programs (when not approved & funds are	OFM	CES		Review yearly. Destroy info. not required	No	No	Selected files potentially archival
CES	OPR	CES	Finance Dept.	7 Years after termination of Grant/Program	No	No	Potentially archival
City of Tacoma)	OPR	City Clerk keeps approved budget permanently	CES	Destroy when budget is approved	Yes	No	
ements)	OPR	City Clerk (PHI) keeps for 7 yrs. after termination of Grant/Program	CES	None	No	No	
(inside). NOTE: These files any info. that must be re- e than one year as prescribed e.	DFM	CES	varies	Current yr. plus one	No	No	Selected files potentially archival
(outside). NOTE: These files any info. that must be re- e than one year as prescribed e.	DFM	CES	varies	Current yr. plus one	No	No	Selected files potentially archival

CHIEF EXAMINER OF MUNICIPAL CORPORATIONS: *Tamara...*
STATE ARCHIVIST: *...*

Retention Schedule

Books

Assett, Ernest D., and Goodman, David G., *Business Filing and Records Control*, South-Western Pub. Co., Cincinnati, Ohio, 1974.

Discusses filing records, filing systems and procedures, indexing, records management. Aimed towards the business office, but appropriate for government.

Bedon, William, *Records Management*, Prentice-Hall, Englewood, New Jersey, 1969.

Records management in the application of systematic analysis and control to records required in the course of operating a business. It includes the creation, maintenance and protection as well. Each subject is treated in depth, needs are explored, objectives established, survey guidelines explained, operating procedures detailed, and results measured.

Begen, August H., *Records Management Step-by-Step*, Office Publications, Inc., Stamford, Conn., 1965.

Describes a system for efficient collection, inventory, and retrieval of company records, how to set up retention schedules, how to supervise and operate a records management program. Includes a rundown on costs for equipment, supplies and personnel.

Beron, Christopher A. and Leahy, Emmett J., *Modern Records Management*, McGraw-Hill Book Co., New York, N.Y. 1965.

Subtitled "A basic guide to records control, filing, and information retrieval." Records retention, filing and finding, storing inactive records, role of the records manager.

Brigan, Daniel, *Micrographic Systems*, National Micrographics Assn., Silver Springs, Md., 1975.

Reflects the rapid and expanding growth of microfilm systems application: This book presents in useful format the scope of micrographics in terms of hardware, systems, and technical standards and applications. Contains useful bibliographies.

Brinson, A. Litchard, *The Right Way to File*, Geyer-Allister Pub., New York, N.Y., 1971.

Filing systems and surveys, storage equipment, records control and retention, computer problems.

Brown, H.G., *The Records of a Nation*, Atheneum, New York, N.Y., 1969.

Discusses in historical detail and with accuracy the development of the National Archives and Records Service and the role and importance of Records Management in the Federal Government. Includes an excellent description of the growth and importance of the Federal Register.

Brown, Frank M., *The Knox Standard Guide to Design and Control of Business Forms*, McGraw-Hill Book Co., New York, N.Y., 1965.

Presents a set of procedures designed to reduce clerical costs and simplify paperwork; also how to streamline procedures and improve management reports.

Lewis, C.M., and Offenhauser, W.H., Jr., *Micro-recording*, Interscience Publishers, Inc., New York, N.Y., 1956.

Discusses the relationship of microfilming and micrographics to the broad field of records management and discusses in detail the application of proven techniques.

Maedke, Wilmer O., Robek, Mary F., and Brown, Gerald F., *Information and Records Management*, Glencoe Press, Beverly Hills, California, 1974.

The management and control of information and records is today's most important management problem. This complete textbook discusses and explains in detail, records control related to active and inactive records, creation of records and micrographics and reproduction; contains study questions and project suggestions.

National Association of Credit Management, *Manual of Commercial Laws*, New York, N.Y., 1974.

A comprehensive valid reference source with citations pertaining to the Uniform Commercial Code and the effect of laws, statutes, rules and regulations pertaining to commercial transactions in the States of the Union; a most helpful guide book in determining retention periods and conducting retention analyses.

Admissibility in Evidence of Microfilm Records, prepared by Nixon, Hargrave, Devans & Doyle, Rochester, N.Y. for Eastman Kodak Company, The National Microfilm Association, Silver Spring, Maryland, 1971.

Authoritative, documented presentation of essentials of the law.

Place, Irene, Popham, E.L., and Fujita, H.N., *Fundamental Filing Practice*, Prentice-Hall, Englewood Cliffs, New Jersey, 1973.

Presents in very useful detail the practical essentials of filing systems and file hardware and supplies; contains study questions, project suggestions.

Schellenberg, T.R., *Modern Archives; Principles and Techniques*, Columbia University Press, New York, N.Y., 1975.

An excellent discussion of archival management.

Weaver, Barbara N. and Bishop, Wiley L., *The Corporate Memory*, John Wiley and Sons, Inc., New York, N.Y., 1974.

Considers the Records Management problem from the corporate office point of view and discusses the role and importance of Records Management practices and techniques in relationship to the "decision makers in modern business."

References Continued

Periodicals

Administrative Management
11 Madison Avenue
New York, New York 10010

American Archivist
110 Elm Avenue
Baltimore, Maryland 21211

Information and Records Management
50 Fulton Avenue
Hempstead, New York 11550

Microfilm Techniques
50 Fulton Avenue
Hempstead, New York 11550

Modern Office Procedures
614 Superior Avenue West
Cleveland, Ohio 44138

The Office
1200 Summer Street
Stamford, Connecticut 06904

Journal of Micrographics
(Official publication of the National
Micrographics Association)
8719 Colesville Rd.
Silver Spring, Maryland 20910

Records Management Quarterly
(Official publication of the Association of Records
Managers and Administrators)
P.O. Box 840
Prairie Village, Kansas 66208

The National Archives and Records Service (NARS)
of the General Services Administration
Washington, D.C. 20402

Publishes an excellent series of handbooks in the broad
field of records management, including: *Applying
Retention Schedules*, 1961; *Files Operations*, 1964
Protection of Vital Records, 1966; *Subject Filing*,
1966; *Federal Records Centers*, 1967; *Microfilming
Records*, 1974; *Microfilm*, 1975; *Forms Management*,
1976; and *Disposition of Federal Records*, 1978.

Updated Material

Summaries of newly-published books of interest to
municipal clerks are printed in the "Worthwhile
Reading" section of IIMC'S monthly *News Digest*.

Articles of current interest are indexed and printed
periodically in the *Records Management Quarterly*, the
official publication of ARMA.

Professional Associations Which Offer Material

American Management Association (AMA)
135 W. 50th St., New York, N.Y., 10020

Assoc. of Records Managers & Administrators (ARMA)
P.O. Box 840, Prairie Village, Kansas 66208

Business Forms Management Association, Inc. (BFMA)
6204 N. Delno Avenue, Fresno, California 93711

International Institute of Municipal Clerks (IIMC)
160 N. Altadena Drive, Pasadena, California 91107

National Micrographics Association (NMA)
8719 Colesville Rd., Silver Spring, Maryland 20910

Society of American Archivists
330 S. Wells, Suite 810, Chicago, Illinois 60606

IIMC Technical Bulletins are designed to provide information on specific subjects of interest in the Municipal Clerk's profession. The information for these bulletins is obtained through the cooperative efforts of the 5,000 IIMC members. IIMC maintains an extensive reference facility to provide its members with detailed information on specific problems. This particular bulletin was developed by the IIMC Records Management Committee (Jennie M. Fulasz, CMC, City Clerk, Chula Vista, Calif. — Chairman) from material submitted by H.B. Bond, CMC, City Clerk, and Bill Herried, Records Management Officer of the City of Tacoma, Washington. Mr. Bond served as the Chairman of the IIMC Records Management Committee for five years. IIMC welcomes reports, studies and additional data from municipal clerks everywhere who wish to share their knowledge and experience with their associates.

Other bulletins in this series, available from IIMC Headquarters, include: No. 2 *Indexing and Filing of Council Minutes*, No. 4 *IIMC Ordinance Files*, No. 5 *Consent Agendas*, No. 6 *Clerk's Duties*, No. 9 *Professional Educational Priorities*, No. 10 *The Emerging Professional Clerk*, No. 11 *Municipal Clerks' Salaries*, No. 12 *Municipal Clerks' Fringe Benefits*, and No. 13 *Computerized Text Processing*.

Appendix D

Contents of Typical Personnel Files
City of Omaha Personnel Department
1983

A. Civilian Employee (hired 1973)

- | | |
|--|--|
| 1. Correspondence/benefits tied to physicians report | 15. P-19 merit |
| 2. Same | 16. Evaluation form |
| 3. Blue Cross claim | 17. P-19 merit |
| 4. Copy of medical bill | 18. Evaluation form |
| 5. Medical letter | 19. Letter notified employee of merit increase |
| 6. Benefits letter/medical status | 20. Interoffice memo, supervision to employee |
| 7. Correspondence-medical | 21. P-19 change of status |
| 8. Paid medical bill | 22. Evaluation |
| 9. Benefit status (pension) | 23. Verification of address/wheel tax |
| 10. Insurance benefit form | 24. P-19 original |
| 11. IOD correspondence | 25. Letter of welcome |
| 12. P-19 merit | 26. Medical evaluation form |
| 13. Summary of pension benefits to date | 27. Application |
| 14. Request for change of medical coverage | 28. 3 IOD reports/backup information |

B. Civilian Employee (hired 1980)

- | | |
|---------------------------|--|
| 1. 3 garnishment orders | 24. P-19 |
| 2. P-19 change of status | 25. Two garnishments |
| 3. Evaluation | 26. Evaluation |
| 4. 2 garnishment orders | 27. P-19 military leave |
| 5. P-19 | 28. Insurance benefit form |
| 6. Evaluation | 29. P-19 original |
| 7. Military leave request | 30. Correspondence/appointment |
| 8. Garnishment | 31. Benefit form pension |
| 9. P-19 | 32. Wheel tax form |
| 10. Evaluation | 33. P-19 CETA |
| 11. 6 garnishment orders | 34. P-19 change of status |
| 12. P-19 | 35. 2 garnishments |
| 13. Evaluation | 36. P-19 merit |
| 14. Cardex card/seasonal | 37. Evaluation/course in lifesaving |
| 15. Application | 38. Certificate of completing training/test scores |
| 16. Pension benefit form | 39. P-19 appointment |
| 17. Physical | 40. Application |
| 18. Evaluation | 41. Medical exam |
| 19. Correspondence | 42. Benefits statement |
| 20. Sick leave status | 43. Wheel tax form |
| 21. Correspondence " | 44. 3 IOD forms |
| 22. Garnishment | |
| 23. P-19 military leave | |

C. Civilian Employee (hired 1982)

- | | |
|-----------------------------|---|
| 1. P-19 appointment | 6. P-19 seasonal |
| 2. Benefit status - pension | 7. Application/resume |
| 3. Application typing test | 8. Interoffice memo to mayor notifying him of appointment |
| 4. Typing test | |
| 5. Physical | |

D. Police Officer (hired 1971)

- | | |
|---|-------------------------------|
| 1. Recognition letter
from chief | 21. Outside employment |
| 2. Outside employment form | 22. Wheel tax form |
| 3. Outside employment form | 23. P-19 change compensation |
| 4. Commendation letter | 24. Evaluation |
| 5. Outside employment form | 25. Outside employment |
| 6. Commendation letter | 26. Outside employment |
| 7. Commendation letter | 27. Outside employment |
| 8. Outside employment form | 28. Outside employment |
| 9. Insurance benefit report | 29. P-19 merit |
| 10. Notice of completion of
training tuition
reimbursement form | 30. Evaluation |
| 11. Reprimand | 31. P-19 merit |
| 12. Commendation letter | 32. Evaluation |
| 13. Commendation letter | 33. P-19 change of status |
| 14. Outside employment form | 34. Evaluation |
| 15. Commendation letter | 35. P-19 original |
| 16. Outside employment | 36. Application |
| 17. Outside employment | 37. Medical form |
| 18. Outside employment | 38. Pension benefit statement |
| 19. Application/police
sergeant exam | 39. Check of police record |
| 20. P-19 title change | 40. High school check |
| | 41. DMV check |
| | 42. Military form |
| | 43. Birth certificate |
| | 44. IOD form |

E. Police Officer (hired 1982)

- | | |
|-------------------------|---|
| 1. P-19 form | 3. Authorization to deduction
of pay check |
| 2. Pension benefit form | |

F. Police Officer (hired 1955)

- | | |
|--------------------------------|---|
| 1. Insurance benefit statement | 20. P-19 merit |
| 2. P-19 title change | 21. Evaluation |
| 3. Reprimand | 22. Outside employment |
| 4. Wheel tax form | 23. P-19 merit |
| 5. Wheel tax form | 24. Evaluation |
| 6. Letter/benefit/medical doc. | 25. P-19 merit |
| 7. Outside employment form | 26. Evaluation |
| 8. In-service training form | 27. Reprimand |
| 9. In-service training form | 28. DMV damage report |
| 10. Outside employment form | 29. Correspondence/accident |
| 11. In-service training form | 30. Correspondence/accident |
| 12. In-service training form | 31. Correspondence/accident |
| 13. P-19 merit | 32. Correspondence/accident |
| 14. Evaluation | 33. Outside employment form |
| 15. P-19 merit | 34. Outside employment form |
| 16. Evaluation | 35. Tour of duty assignment |
| 17. Pension benefit statement | 36. Court appointment letter |
| 18. P-19 merit | 37. Certification of
position letter |
| 19. Evaluation | |

- | | |
|--|--|
| 38. Evaluation report letter | 52. Criminal investigation report |
| 39. Evaluation report letter | 53. Application |
| 40. Evaluation report letter | 54. Application |
| 41. Medical exam report | 55. Notarized copy of application |
| 42. Evaluation report | 56. Correspondence on recommendation for appointment |
| 43. Evaluation report | 57. Evaluation report |
| 44. Final exam-recruiting school | 58. Correspondence |
| 45. Evaluation report | 59. Correspondence |
| 46. Receipt for badge | 60. Birth certificate |
| 47. Oath of office | 61. Birth registration notification |
| 48. Vacation record | 62. Military service record |
| 49. Letter to chief/
investigation report | 63. Military service |
| 50. Letter to applicant | 64. 3 IOD reports |
| 51. Medical exam report | |

G. Firefighter (hired 1978)

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|--------------------------------|---------------------------------|
| 1. P-19 merit | 13. Application |
| 2. Evaluation | 14. Birth certificate |
| 3. P-19 merit | 15. Benefit statement (pension) |
| 4. Evaluation | 16. Medical report |
| 5. Insurance benefit statement | 17. Medical evaluation |
| 6. P-19 | 18. Medical evaluation |
| 7. Insurance benefit statement | 19. Medical evaluation (dup) |
| 8. P-19 | 20. Odometer report |
| 9. Evaluation | 21. Radiology report |
| 10. P-19 | 22. Diagnostic pre-hire report |
| 11. Evaluation | 23. Wheel tax |
| 12. P-19 | |

H. Firefighter (hired 1959)

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| 1. Insurance benefit statement | 22. School rating form |
| 2. Fire captain's promotion application | 23. Certification report |
| 3. P-19 change status | 24. School rating form |
| 4. Evaluation | 25. School rating form |
| 5. Medical evaluation report | 26. Appointment captain form |
| 6. P-19 change of status/
promotion | 27. P-19 merit |
| 7. Interoffice memo-vehicle accident | 28. Evaluation |
| 8. Wheel tax form | 29. P-19 merit |
| 9. P-19 change status | 30. Evaluation |
| 10. Evaluation | 31. P-19 merit |
| 11. Benefit statement (pension) | 32. Evaluation |
| 12. P-19 change status | 33. P-19 change status |
| 13. Evaluation | 34. Evaluation |
| 14. P-19 change status | 35. Certification of active duty |
| 15. Evaluation | 36. P-19 original |
| 16. P-19 change status | 37. Letter/fingerprints |
| 17. Evaluation | 38. Original application |
| 18. School rating form | 39. Military DD-214 |
| 19. School rating form | 40. Birth certificate |
| 20. P-19 merit | 41. High school diploma |
| 21. Evaluation | 42. Vehicle accident check request |
| | 43. 3 IOD reports |